

PERFORMANCE EVALUATIONS

STANDARD NO(S):

NYSLEAP#: 13.1

NYSSA#: 29

NYSSA CIVIL#: 29

DATE:

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REFER TO:

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I. OBJECTIVE:

The objectives of the SCSO's performance evaluation system are:

- A. To enable fair and impartial decisions affecting personnel, and to standardize the nature of the decision-making process;
- B. To maintain and improve employee performance, and to insure the public that SCSO personnel are qualified to carry out their assigned duties;
- C. To provide a medium for personnel counseling, to reinforce appropriate behavior, discourage inappropriate behavior, and to suggest when behavior modification is necessary;
- D. To facilitate proper decisions regarding probationary employees;
- E. To provide an objective and fair means for recognition and measurement of individual accomplishments; and,
- F. To identify training needs.

II. POLICY:

The SCSO must be able to depend on satisfactory work performance from all employees. In order to measure such performance, each employee will be evaluated, at least annually, by their immediate supervisor, in accordance with the objectives and procedures set out below. Evaluations will be documented using the appropriate forms.

III. DETAILS:

A. Performance evaluation -

1. **Measurement definitions** - In order that evaluations will be standardized throughout the SCSO, supervisors will be familiar with the following definitions:

- a. **Permanent employee** - For the purpose of this directive, an employee who has completed the initial employment probationary period.
 - b. **Permanent employee, probationary status** - One who has completed the initial probationary period, but who is subsequently placed in a probationary status due to transfer, promotion, demotion or for special disciplinary reasons.
 - c. **Probationary employee** - One who has not completed the initial employment probationary period.
 - d. **Rater** - Supervisor who evaluates an employee, normally the employee's immediate supervisor. Training to qualify as a rater is included in the Office of Public Safety course in Police Supervision, which course is required within one year of promotion to the rank of Sergeant.
 - e. **Rating or evaluation period** - The interval of time covered by the current evaluation.
 - f. **Regular evaluation** - The regularly scheduled annual evaluation for a permanent employee.
 - g. **Special evaluation** - Any evaluation other than a regular evaluation. May include probationary evaluations due to new employment, transfer, promotion, demotion, disciplinary action or in consideration for special recognition.
2. **Evaluation process** - The evaluation process is based on several approved forms designed for use by both the employee for self-rating and by the employee's supervisor doing the rating.
- 1. The following approved forms will be utilized for the purpose of evaluating employee performance:
 - a. SCSO-AD-007 – All full and part-time Deputy Sheriff's, Deputy Sheriff Recruits, Special Patrol Officers and Corrections Officers.
 - b. SCSO-AD-008 – All Divisions - Sergeants and Lieutenants.
 - c. SCSO-AD-009 – All Investigators assigned to the Criminal Investigations Division
 - d. SCSO-AD-010 – All Civilian/Clerical Employees
 - e. SCSO-AD-011 – Goal Achievement Inventory Form
 - f. SCSO-AD-012 - Probationary Evaluation

B. Evaluation procedure -

1. **Sworn members** - Immediately following the evaluation period, the Law Enforcement and Corrections Division Lieutenants will assign their respective division supervisors the task of conducting performance evaluations for division members.

The Division Lieutenants will make every effort to ensure Division Supervisors conduct performance evaluations of subordinates who worked directly for such supervisor during all or a majority of the rating period.

The Division Lieutenants will assign certain Division Supervisors to conduct performance evaluations of all part time members assigned to their respective Divisions.

Division Supervisors assigned to conduct performance evaluations of part time members may seek counsel and guidance from fellow Division Supervisors who have had the occasion to supervise such part time member's work ethic and product. The Division Supervisor conducting such performance evaluation who seeks and receives such counsel and guidance with respect to a part time members work ethic and product, will note those comments attributed to such supervisor on the required evaluation instrument.

Investigators - The CID Lieutenant will conduct performance evaluations of all members of the Criminal Investigation Division.

Court Security Division - The Court Security Sergeant will conduct performance evaluations of all Deputy Sheriff's and Special Patrol Officers assigned to the Court Security Division.

Division Sergeants - Division Lieutenants will conduct performance evaluations of all Sergeants within their respective Divisions.

Law Enforcement Division Lieutenants - The Chief Deputy will conduct performance evaluations of all Lieutenants assigned to the Law Enforcement Division.

Corrections Division Lieutenant(s) - The Chief Administrative Officer will conduct performance evaluations of all Lieutenants assigned to the Corrections Division.

Chief Deputy – Chief Administrative Officer - The Undersheriff will conduct performance evaluations of the Chief Deputy and Chief Administrative Officer

2. **Civilian Employees** – The Corrections Division Lieutenant will conduct performance evaluations for all civilian employees within the Corrections Division. The Chief Deputy will conduct performance evaluations of all civilian employees of the Administration and Civil Divisions.
3. Division supervisors assigned to conduct performance evaluations will obtain the appropriate evaluation instrument from the SCSO Forms Folder located on the

SCSO “G” drive (Administration Forms Folder). The rating supervisor will review the language used in the rating scale for the ratings Unsatisfactory and Satisfactory as well as the language on all required performance evaluation instruments.

- a. The assigned rating supervisor will first obtain all assignments the member has been assigned to during the rating period, ex: Booking, Escort Officer, Road Patrol, Housing Unit Officer, etc..
- b. The assigned rating supervisor will request from the either the Corrections Division Training Unit, or Law Enforcement Division Training database, a printout of all in-service training the member participated in during the rating period and attach those records to the official performance evaluation instrument.
- c. The assigned rating supervisor will print the required performance evaluation instrument and provide it to the subject member with instructions to complete the employee portions and return it to the assigned rating supervisor within five (5) working days.
- d. When returned, the rating supervisor will verify that all rating factors have been addressed and will complete the rater's sections of the form within seven (7) days. The rater may consult with other supervisors where there has been a change of shift or assignment to special details during the rating period. When completed, the supervisor will meet with the employee to discuss the evaluation. The rating supervisor may add additional comments in the spaces provided for those comments.
 1. Goal Achievement Inventory Form – Whenever a (U) Unsatisfactory rating is given by a supervisor, a Goal Achievement Inventory Form (SCSO-AD-011) will be completed with the employee or member in an effort to identify steps and measures for goal accomplishment. The rating supervisor will maintain the member or employee’s Goal Achievement Inventory Form and will report on such form when specific goals are achieved. Upon the successful completion of all stated Goals on the Goal Achievement Inventory Form, such form will be reviewed with the employee or member and a signed by both. A copy of the completed form will be submitted up the chain of command for placement into the member or employee’s personnel file.

C. Evaluation period - Except for special evaluations the normal period will run from January 1st to December 31st, and will be based only on performance during that period. Preparation of the documentation for the rating period will be completed by the rater no later than March 15th.

D. Probationary Evaluation – In accordance with New York State Law Enforcement Accreditation, and New York State Sheriff's Association Corrections standards, entry level law enforcement and corrections officers required to complete a period of probation must be evaluated at least three times during this period. Division Lieutenants will ensure entry level members of their Divisions are officially evaluated three times

during within their first 52 weeks of service following the procedures outlined in Section B.

- E. Criteria** - The criteria to be used for a performance evaluation will be specific to the position held by the employee during the rating period. It will relate to the tasks as noted in the appropriate job description. The rater will assess the quality of work in terms which are descriptive, measurable, and allow a characterization of its relevancy to the job description.
- F. Explanatory comments** - Performance evaluation forms provide for narrative comments in support of the rating given and are required whenever the rating is "unsatisfactory".
- G. Counseling** - At the conclusion of each rating period, the supervisor responsible to rate an employee will review with said employee:
 - 1. Results of the performance evaluation just completed;
 - 2. The level of performance expected for the new reporting period based on the employee's experience and in consideration of the tasks of the position occupied (from the job description), and the specific criteria to be used (from the evaluation form);
 - 3. Opportunities for advancement, through specialization or training appropriate for the employee's position.
- H. Review** - During the interview the employee is permitted to add comments to the narrative to indicate agreement, contention or plans to change a specific behavior. Thereafter, the employee is given an opportunity to sign the evaluation as having read it, without indicating either agreement or disagreement.
- I. Acknowledgment** - In order to insure the uniform application of ratings prepared by subordinate raters, each performance evaluation will be reviewed and signed by the rater and employee, up the chain of command to Chief Deputy for the Law Enforcement Division or the Jail Administrator for the Corrections Division and ultimately to the Sheriff. Each signature indicates that person's review of the rater's evaluation and with the rating being given.
- J. Utilization of evaluations** - Performance evaluation reports will be used, as appropriate, to:
 - 1. Determine training needs;
 - 2. Assess strengths and weaknesses of the individual to determine suitability and effectiveness in present assignment as well as for any future assignment;
 - 3. Provide information for use in considering promotional potential, or one's ability to shoulder added responsibility;

4. Determine extension or abbreviation of probationary period; and,
 5. Serve as the basis for special recognition.
- K. Contested evaluation** - Performance evaluations may be contested through the chain of command until resolved with a final review and determination by the Sheriff.
- L. Retention** - Once completed, the original performance evaluation is maintained, under secure conditions, in the employee's personnel file at the SCSO.