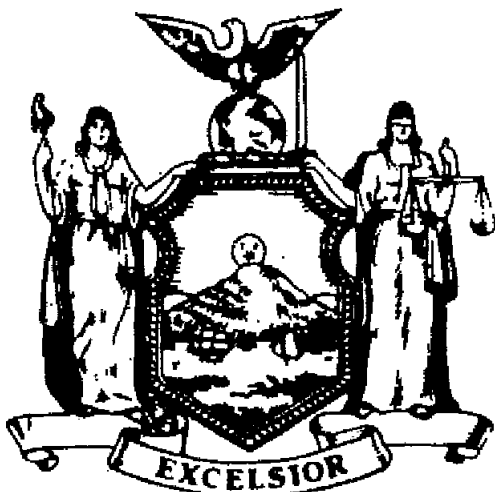


# **Handbook for Employees and Supervisors**

## **EMPLOYEE PERFORMANCE EVALUATION PROGRAM SECURITY SERVICES UNIT**



**State of New York**



**NYSCOPBA**

## **I. INTRODUCTION**

The 1979-82 Agreement between the Governor's Office of Employee Relations (GOER) and Council 82 provided for a joint labor/management committee to develop a performance evaluation program for employees in the Security Services Unit. The committee's basic objective was to develop a program that would improve employee performance and job satisfaction. That performance evaluation system has been in effect for several years and while it has functioned effectively, it needed to be updated. The labor/management committee, under the 1985-88 Agreement, has reviewed the performance evaluation procedure and made the changes contained in this handbook. This handbook describes the program that has been developed by the committee and the procedures to be followed in its implementation. Supervisors and employees are urged to read this handbook carefully and to make use of these procedures in a fair and equitable manner.

## **II. DESCRIPTION OF PROGRAM**

The Performance Evaluation Program for the Security Services Unit applies to all annual salaried employees whose positions are allocated to a salary grade. It is effective January 1, 1988 and replaces the former Performance Evaluation Program for such employees but it does not replace existing probationary programs. The program is based upon supervisory appraisal and rating of activities, tasks and characteristics which are important to performance of the various jobs in the Security Services Unit.

## **A. Objectives of the Program**

The program has the following' major objectives: to improve employee work performance; to improve communication between supervisors and employees concerning work performance; to differentiate levels of performance among various employees, including an identification of employees whose performance is significantly above acceptable standards and, therefore, deserves to be noted; to identify performance areas which are less than satisfactory and, in such instances, to specify corrective action that should be taken; to improve understanding of and to clarify duties and performance expectations for supervisors and employees; and to determine eligibility for performance advance payments based on ratings of performance.

## **B. Method of Evaluation**

Evaluation of each employee will be based upon the activities, tasks and characteristics which are most important to performance of the various jobs in the Security Services Unit. These have been identified and grouped into ten factors.

These ten "Performance Factors" are:

1. Maintains security supervision of a facility or assigned area.
2. Time and attendance.
3. Relationship with fellow employees, superiors and subordinates, etc.
4. Knowledge and application of laws, rules and regulations.
5. Consistency of response with mission of the agency.
6. Scheduling and assigning employees.
7. Anticipation and action in emergency situations.
8. Administrative responsibilities.
9. Relationship with clientele group.
10. General leadership skills.

Agency-level labor/management committees may propose alternative agency-specific and/or title-specific factors, subject to approval by GOER and NYSCOPBA. If so, they should review the subject at agency-level labor/management meetings. Once agreed at that level, the proposal shall be submitted to GOER and NYSCOPBA for review and approval. Upon approval, they will take effect.

For each of the performance factors, there are five levels of performance. Descriptions of ratings of "Outstanding," "Good" and "Unsatisfactory" are listed under each performance factor. If an employee's performance is not precisely described by one of the definitions but rather somewhere in between two ratings, select from all of the ratings the one which best describes the employee's performance (i.e., if an employee's performance is better than that described in the definition of "Good" but is less than "Outstanding," rate the employee "Excellent").

Supervisors will select the performance level which most accurately describes an employee's level of performance on each of the appropriate factors.

If a performance factor does not apply to an employee's job assignment, do **not** assign the employee a rating for this factor. Simply omit the factor from consideration in determining the final rating.

### **C. Rating Period and Frequency**

1. Each employee will be formally evaluated and rated annually, commencing with the employee's date of appointment or promotion to a position in the Security Services Unit, except in the first year of such graded service. During the first year of such service, each employee will be formally evaluated and rated every six months, until they complete one year of service. Between these annual, formal evaluations, supervisors should meet

periodically and regularly to informally give employees feedback on their performance.

**Note:** Employees who have ten full pay periods (100 full work days) but less than six months of service in grade are eligible for a performance advance payment, but must be rated prior to April 1 to receive such payment. In such cases, an employee may be evaluated and rated with only five months of service. Thereafter, evaluations will take place on the employee's anniversary date in grade.

2. Where an employee has had more than one supervisor during the rating period (e.g. due to transfer of either the supervisor or the employee), the supervisor who is responsible for the employee (to whom the employee reports) at the time the employee's evaluation is due is responsible for rating the employee. In doing so, that supervisor has the responsibility to check with the employee's previous supervisor(s) concerning performance in the previous assignment(s) during the same rating period.

3. If an employee is regularly supervised by two different supervisors, these supervisors should evaluate the employee jointly and both supervisors should sign the rating form.

4. If an employee is supervised by more than two supervisors, the employee should be evaluated by the supervisor most familiar with the employee's overall performance. That supervisor should consult with other appropriate supervisors relative to the employee's performance prior to conducting the evaluation.

#### **D. Eligibility for Performance Advance Payment**

An employee whose salary is below the job rate is eligible to be considered for a salary advance. Such an employee will receive a salary advance, effective April 1 of each year, if the employee

has the equivalent of ten payroll periods (100 work days) of actual service in grade during the preceding fiscal year and the employee's final performance rating is "Needs Improvement" or better.

The criteria for meeting this ten payroll period (100 work days) of actual service requirement is pay status. Full pay status goes toward meeting this requirement 100 percent; less than full pay is prorated (e.g. 20 days of sick leave at one half pay = 10 days of service), and leave without pay does not count at all.

### III. EVALUATION PROCESS

Supervisors will evaluate an employee's performance during the preceding year, using the Employee Performance Evaluation Rating Form for employees in the Security Services Unit.

#### STEP 1

The supervisor enters the agency name on the Employee Performance Evaluation Rating Form and completes **Section 1 — Employee Identification.**

|   |                       |  |  |
|---|-----------------------|--|--|
| <b>STATE OF NEW YORK</b>  |                       | <b>Employee Performance Evaluation Rating Form</b> |  |
|   |                       | <b>SECURITY SERVICES UNIT EMPLOYEES</b>            |  |
| <b>Agency</b>   | Correctional Services |  |  |
| <b>SECTION I — EMPLOYEE IDENTIFICATION</b>                                |                       |  |  |
| Employee's Name <u>William Smith</u> Social Security # <u>119-00-5711</u> |                       |  |  |
| Title <u>Correctional Officer</u>   |                       |  |  |
| Facility/Division <u>Fishkill</u>   |                       |  |  |
| Evaluation Period From. <u>6/9/87</u> To: <u>6/8/88</u>                   |                       |  |  |
| Item # <u>02476</u>   |                       | Salary Grade <u>20</u>                             |  |

## STEP 2

Next, the supervisor reads carefully the **Supervisory Instructions** contained in Section II on the Employee Performance Evaluation Rating Form.

### **SECTION II — SUPERVISORY INSTRUCTIONS**

Compare the employee's job performance relative to each of the performance factors in Section III with the ratings described under each factor. Select the rating which most accurately describes the employee's performance on each factor, and check the appropriate box. ***If the employee's performance is not exactly described by one of the definitions under a factor, select from all ratings the one which best describes the employee's performance.*** If an employee's duties are such that a given factor has no applicability, omit that factor.

## STEP 3

Going to **Section III — Performance Factors**, the supervisor now evaluates the employee's actual job performance relative to each of the ten performance factors appearing on the Employee Performance Evaluation Rating Form and identifies the performance rating which most accurately describes the employee's level of performance for each factor. The supervisor should consider one factor at a time, basing judgment on the specific requirements of the individual employee's job.

Once the appropriate rating has been identified for a performance factor, the supervisor checks the rating on the Employee Performance Rating Form.

**Note:** In some cases, a performance factor may not apply to the job assignment of a specific employee. In such a situation, the factor should be omitted from consideration.

### SECTION III – PERFORMANCE FACTORS

| Outstanding | Excellent | Good | Needs Improvement | Unsatisfactory |
|-------------|-----------|------|-------------------|----------------|
|             | X         |      |                   |                |

#### 1. Maintain security supervision of a facility or assigned area.

Consider the quality of security supervision provided a facility or area under this employee's supervision.

**OUTSTANDING:** Provides close and frequent supervision to assigned areas including inspection of security, safety and sanitary conditions of a facility or area, equipment or grounds. Always gives prompt and appropriate direction to subordinates to deal with any problems which arise; promptly and accurately reports any conditions which require it. In correctional facilities, provides highly effective control and coordination of inmate movement, counts, and activities.

**GOOD:** Provides adequate security supervision to assigned areas. Security, safety, and sanitary conditions of supervised areas usually good. Deals with most situations adequately. Usually prepares reports accurately and within a reasonable time period. Has good control of inmate movement and activity.



**UNSATISFACTORY:** Supervision of areas inadequate. May not inspect areas frequently enough, or direction to subordinates in handling problems may reflect poor judgment or inconsistent approach; or reports may be of poor quality or untimely.

## **2. Time and attendance.**

|  |  |          |  |  |
|--|--|----------|--|--|
|  |  | <b>X</b> |  |  |
|--|--|----------|--|--|

Consider employee's attendance and punctuality record in relation to generally accepted rules and regulations.

**OUTSTANDING:** Employee uses a limited amount of sick leave time. Always advises supervisor of planned or emergency use of leave time and obtains prior-approval. Is very rarely tardy.

**GOOD:** Employee generally uses an acceptable number of sick days. Obtains supervisory approval. Is seldom tardy.

**UNSATISFACTORY:** Employee frequently and inappropriately uses sick leave; is tardy on a frequent basis; is absent without approval or prior notification.

## **3. Relationship with fellow employees, superiors and subordinates, etc.**

|  |  |          |  |  |
|--|--|----------|--|--|
|  |  | <b>X</b> |  |  |
|--|--|----------|--|--|

Consider the quality of this employee's relationship with other employees.

**OUTSTANDING:** Employee has excellent relationship with both superiors and subordinates and other program and administrative staff. Communicates in a cooperative and helpful way with both groups. Resolves employee problems

and implements valid employee requests to the extent of ability to do so.

**GOOD:** Employee has good relationship with most superiors and subordinates and other program and administrative staff. Is normally reasonable and cooperative with both groups. Is usually fair and consistent in dealings with subordinates.

**UNSATISFACTORY:** Employee has poor relationship with superiors and subordinates and the program and administrative staff. Is often uncooperative or uncommunicative, or handling of subordinates generates labor relations problems. Makes little effort to accommodate needs or work problems of subordinates.

#### **4. Knowledge and application of laws, rules and regulations.**

|  |  |          |  |  |
|--|--|----------|--|--|
|  |  | <b>X</b> |  |  |
|--|--|----------|--|--|

Consider the employee's knowledge of relevant laws, rules and regulations required in the performance of assigned duties and judgment used in their application.

**OUTSTANDING:** Employee exhibits a thorough knowledge and understanding of relevant laws, rules and regulations; consistently applies them in an appropriate manner.

**GOOD:** Employee has a basis understanding of relevant laws, rules and regulations; generally applies them in a consistent manner.

**UNSATISFACTORY:** Employee lacks understanding and familiarity with relevant laws, rules and regulations; application is often arbitrary.

## 5. Consistency of response with mission of the agency.

|  |  |   |  |  |
|--|--|---|--|--|
|  |  | X |  |  |
|--|--|---|--|--|

Consider the employee's understanding of role and the parameters of that role and accepted activities within that role.

**OUTSTANDING:** Employee displays exceptional understanding of the mission of the agency and consistently acts as a positive role model in pursuit of that mission; clearly seeks to be a positive influence in pursuit of program objectives.

**GOOD:** Employee carries out assigned responsibility in a manner which is generally consistent with the mission of the agency.

**UNSATISFACTORY:** Employee shows little understanding and appreciation of the agency mission and frequently acts in a manner which is inconsistent with, and reflects poorly upon, that mission.

## 6. Schedules and assigns employees under his/her supervision.

|  |  |   |  |  |
|--|--|---|--|--|
|  |  | X |  |  |
|--|--|---|--|--|

Consider employee's performance in scheduling and assigning the work of employees under his/her supervision.

**OUTSTANDING:** Consistently and effectively schedules and assigns staff to cover necessary tasks in accordance with applicable contract and labor/management agreements and employee attendance rules. Anticipates and prepares for staffing difficulties; exercises good judgment in assigning staff in emergency situations.

**GOOD:** Generally schedules and assigns staff to cover necessary tasks, in accordance with applicable contract and labor/management agreements and employee attendance rules. Responds in adequate fashion to emergency situations.

**UNSATISFACTORY:** Fails to plan well for staffing needs on shift; staff not efficiently used. Security, labor/management or contract problems created by poor judgment in assigning staff.

### **7. Anticipation and action in emergency situations.**

|  |  |          |  |  |
|--|--|----------|--|--|
|  |  | <b>X</b> |  |  |
|--|--|----------|--|--|

Consider the employee's ability to recognize emergency situations and timeliness of response to such situations. Also, consider the employee's ability to detect potential problems and judgment in taking action.

**OUTSTANDING:** Employee consistently exhibits ability to recognize potential problems or emergencies, taking constructive and effective action which serves to minimize problems before they occur.

**GOOD:** Employee reacts to emergency situations in an effective manner ensuring a minimum of disruptions.

**UNSATISFACTORY:** Employee often does not detect and/or respond appropriately to problem situations and/or emergencies.

### **8. Administrative responsibilities.**

|  |  |          |  |  |
|--|--|----------|--|--|
|  |  | <b>X</b> |  |  |
|--|--|----------|--|--|

Consider the employee's performance investigating and reporting on various matters (e.g. employee grievances or misconduct, unusual incidents, operational problems, performance/probationary evaluations, etc.).

**OUTSTANDING:** Employee consistently and promptly provides thorough investigations and reports on a variety of matters.

Reports are always complete and reliable.

**GOOD:** Employee usually provides timely and adequate investigations and reports. Reports are usually accurate and adequate for the situation.

**UNSATISFACTORY:** Employee's investigations and reports are slipshod or incomplete or untimely. May frequently require double-checking or correction; may not be completed within a reasonable time.

### **9. Relationship with clientele\* group.**

\*Clientele group may mean inmates, patients, students, residents, service users, the public, etc.

|  |  |          |  |  |
|--|--|----------|--|--|
|  |  | <b>X</b> |  |  |
|--|--|----------|--|--|

Consider employee's performance in dealing with matters relating to clientele group.

**OUTSTANDING:** Employee coordinates and/or supervises client-related activity in a consistently thorough manner. Is sensitive to client concerns. Is very effective in conveying and enforcing standards in dealing with clients to the clients and subordinate staff.

**GOOD:** Employee usually coordinates and/or supervises client-related activity in an acceptable manner. Shows some sensitivity to client concerns. Usually conveys and enforces standards in dealing with clients to clients and subordinate staff.

**UNSATISFACTORY:** Employee has difficulty in coordinating and/or supervising client-related activity in an acceptable manner. Exhibits little sensitivity for client concerns. Seldom conveys and enforces standards in dealing with clients to clients and subordinate staff.

**10. General leadership skills.**

|  |  |          |  |  |
|--|--|----------|--|--|
|  |  | <b>X</b> |  |  |
|--|--|----------|--|--|

Consider employee's demonstrated ability to provide direction, instruction and counsel to subordinate staff.

**OUTSTANDING:** Employee continually demonstrates leadership ability in all assigned tasks. Always coordinates work force effectively to accomplish assigned tasks.

**GOOD:** Employee usually demonstrates leadership ability in most assigned tasks. Usually coordinates work force effectively to accomplish assigned tasks.

**UNSATISFACTORY:** Employee does not demonstrate adequate leadership ability in assigned tasks. Cannot coordinate work force effectively to accomplish assigned tasks.

**STEP 4**

After the rating for each of the factors has been recorded, the supervisor assigns a Tentative Rating, which should reflect the employee's overall performance for the rating period.

The supervisor should take into consideration the ratings on all factors when- determining this Tentative Rating. This rating is intended to be an objective review of all the ratings.

In determining the Tentative Rating, the supervisor should also weigh all of the factors in terms of their importance to the job being performed. For example, if some factors are more important to the successful performance of the job, the ratings on those factors should carry more weight in determining the Tentative Rating. Conversely, if certain factors are of lesser importance,

the ratings on these factors should carry less weight. The rating on any single performance factor, however, will not be the sole basis for the Performance Rating.

Ratings of less than "Good" should be accompanied by comments (in the Supervisor's Comments section) relating to specific instances or occurrences during the rating period.

#### **SECTION IV — PERFORMANCE RATING**

After the rating for each of the factors has been recorded, the supervisor assigns a Performance Rating, from the categories below, which should reflect the employee's overall performance for the rating period.

- ☐ **OUTSTANDING:** The employee's performance clearly is exceptional in comparison with expectations, thereby causing the employee to stand out above others in the work unit. Performance consistently exceeds expectations for all tasks. The employee can be relied upon to perform the most difficult tasks and has made exceptional contributions to the work of the employee's work unit or the agency.
- ☐ **EXCELLENT:** The employee always meets and frequently exceeds performance expectations for all tasks. The employee is performing better than expected for many of the tasks and is recognized as a particular asset to the work unit.
- ☐ **GOOD:** The employee meets performance expectations for all tasks and performs in a good, competent manner. This is the expected and usual level of performance for most employees.
- ☐ **NEEDS IMPROVEMENT:** The employee meets performance expectations at a minimally acceptable level.
- ☐ **UNSATISFACTORY:** The employee clearly does not meet performance expectations, not even at a minimally accepted level.

## STEP 5

In the spaces provided on the Employee Performance Evaluation Rating Form, the supervisor should comment on the employee's strengths and areas in need of improvement. The supervisor should also suggest ways in which the employee may improve performance. After completing the appraisal and Tentative Rating of the employee, the supervisor signs and dates the Employee Performance Evaluation Rating Form.

**Supervisor's Comments:** Consistent with the values recorded above and the rating given, the supervisor is to offer comments in the spaces provided below:

Demonstrated Strengths: Mr. Smith has demonstrated exceptional ability in promoting the security and safety of this facility by his careful attention to inmate activities and contraband control. He is cooperative with fellow employees and his conduct has contributed to an improved work climate.

Areas in Need of Improvement: Although routine reports and documentation of incidents are generally submitted on time, they are not always complete and accurate. Mr. Smith needs to pay closer attention to details and submit written documentation in a more timely manner.

Signature of Supervisor /s/ Emilio Rodriguez

Title Correction Officer

Date 6/14/88



## STEP 6

The supervisor now submits the Tentative Rating to a higher level of supervision for review. This review at a higher level is intended to insure accuracy, consistency and equity in the ratings and in the application of the performance factors and indicators to employee performance. Once the Employee Performance Evaluation Rating Form has been reviewed and signed by the reviewer, the Tentative Rating becomes the employee's **Final Rating** for the rating period.

### SECTION V — SECOND-LEVEL SUPERVISORY REVIEW

My comments on the rating are as follows: I concur with this performance evaluation and rating. Mr. Smith is a conscientious and reliable employee and I am confident that he will improve in his administrative responsibilities.

Signature of Reviewer    /s/ Thomas Reynolds

Title            Deputy Superintendent    Date            8/21/88

## STEP 7

After the Employee Performance Evaluation Rating Form has been reviewed, signed by the reviewer and returned to the supervisor, the supervisor conducts a confidential appraisal interview with the employee. During the interview, the supervisor should explain the basis for the assigned performance rating,

and provide an explanation of and the basis for the supervisor's comments on the employee's strengths and areas in need of improvement. The supervisor should recommend specific actions to improve performance and offer the employee guidance for career development. Supervisors and employees alike are encouraged to use these meetings as opportunities for open, frank discussion concerning any and all aspects of the job which affect performance. At the conclusion of the confidential appraisal interview, the employee will be given an opportunity to comment in writing on the performance evaluation and rating in the space provided in **Section VI Employee Comments**. The employee will then record the name of the supervisor in the space provided and sign and date the Employee Performance Evaluation Rating Form.

## **SECTION VI — EMPLOYEE COMMENTS**

The employee is afforded the opportunity to comment on the performance evaluation in the space provided below:

Although I believe providing safety and security to my assigned area is my most important job, I also understand that timely and accurate record keeping is also important, and I will work to improve in this area.

**Employee Review:** I have reviewed this completed rating and it has been discussed with me by Emilio Rodriguez

Employee's Signature /s/ William Smith Date 6/25/88

## **STEP 8**

After the evaluation process has been completed, give a copy of the evaluation form to the employee, send the original of the form to the local personnel office, and send a copy to the central office. The original will be retained in and become part of the employee's official personnel file.

## **IV. APPEALS PROCESS**

The program which has been developed has been designed to assist supervisors in the conduct of fair and accurate evaluations of employee performance. A face-to-face appraisal interview has been included in the evaluation process to provide for and to enhance communication between supervisors and employees concerning work performance. Provision also has been made on the rating form for employees to comment on any aspect of their job or on their supervisor's assessment of their performance of the- job. Nevertheless, there still may be disagreement between an employee and a supervisor concerning the Final Rating which the employee has been assigned. In such an instance, the employee may request a review of the rating by filing an appeal according to the process outlined below. Only Final Ratings are appealable.

### **A. Levels of Appeal**

#### **1. Local Level**

An employee who disagrees with any assigned Final Rating may appeal within 14 calendar days of receipt of the rating to a local (agency, facility, subdivision, etc.) management review board and seek to have the rating raised to the next higher level. (If the organization of an agency is such that there is no need for a local board, this step in the process is omitted and the employee may

appeal directly to the next level.) The local board will consider the appeal and issue a determination within 14 days of receipt of the appeal.

## **2. Agency Level**

An employee whose Final Rating is "Good" or lower and whose appeal has been denied at the local level may appeal to a management review board at the agency level and seek to have the rating raised to the next higher level. An appeal to the agency level must be submitted within 14 calendar days of receipt of the decision of the local board. The agency board will consider the appeal and issue a determination within 21 days of receipt of the appeal.

Local and agency level appeals boards are comprised of two or three management level individuals (three is preferred).

## **3. Security Services Unit Appeals Board**

An employee whose Final Rating is "Unsatisfactory" and whose appeal has been denied at the agency level may appeal to a board established jointly by GOER and NYSCOPBA.

This board will consist of one union representative and, when necessary, a chairperson mutually agreed upon. An appeal to the Unit Appeals Board must be submitted within 14 calendar days of receipt of the decision of the agency board. The Security Services Unit Appeals Board will consider the appeal and issue a determination within 60 days of receipt of the appeal.

## **B. Representation**

An employee may be represented at each step in the appeals process only by a person designated by NYSCOPBA.

## **V. MONITORING OF THE PROGRAM**

The success of this system is dependent upon the extent to which good performance evaluation takes place. Performance evaluation has benefits for both supervisors and employees. For supervisors, it provides a means for improving the quality and quantity of the work for which they are responsible. For employees, the program assists in improved understanding of their duties and responsibilities, as well as of what they need to do to improve their work performance. The joint GOER/NYSCOPBA Performance Evaluation Program Committee will review the administration of this new performance evaluation system and address issues and problems that may arise out of its implementation.

## **VI. AGENCY SUPPLEMENTAL INFORMATION**

This Performance Evaluation Program is the system to be used for all employees in the Security Services Unit to whom it applies. Individual agencies have been asked to supplement the information in this handbook with specific agency information and guidance. The material provided by each agency is intended to assist both employees and supervisors by interpreting the system in the context of agency policies and practices. Such supplemental information does not change the program described in this handbook. Changes in the program may be made only with the approval of the joint GOER/NYSCOPBA Performance Evaluation Program Committee.

## APPENDIX A

### Definition of Terms Employee Performance Evaluation Program Security Services Unit

**Agency Performance Evaluation Appeals Board** — The management review panel established in each agency to review and rule on employee appeals from Performance Ratings of "Good," "Needs improvement" and "Unsatisfactory."

**Anniversary Date** — An employee's appointment date to the present salary grade. This date is used to determine each employee's evaluation cycle.

**Appraisal interview** — Confidential meeting between supervisor and employee for the purpose of discussing the employee's performance. These discussions should focus on the employee's strengths, areas in need of improvement, the rationale for the assigned performance rating and supervisory suggestions for improving performance.

**Employee Performance Evaluation Rating Form** - Official form for rating Security Services Unit employees under the Employee Performance Evaluation Program effective January 1, 1988.

**Final Rating** — The final rating is the Performance Rating received most immediately prior to April 1 of each year. For employees who are below the job rate for their salary grade, the final rating is needed to determine eligibility for a performance advancement.

**Hiring Rate** — Entry level or minimum salary stated for each salary grade in the salary schedule for employees in the Security Services Unit.

**Job Rate** — Maximum salary stated for each salary grade in the salary schedule for employees in the Security Services Unit.

**Local Performance Evaluation Appeals Board** — The management review panel established at the local level (facility, subdivision, etc.) of each agency to review and rule on employee appeals from Performance Ratings. In some agencies the creation of such local boards may not be appropriate or necessary.

**Performance Advance Payment** — Salary increases, approximately equivalent to one-fourth of the difference between the Hiring Rate and the Job Rate for each salary grade. To be eligible, the employee's salary must be below the Job Rate and the employee must receive a Final Performance Rating of "Needs Improvement" or better. At no time, however, will an employee's salary exceed the Job Rate for the salary grade as the result of receiving a Performance Advance Payment.

**Performance Appraisal** — Supervisory assessment of activities, tasks and characteristics which are important to the performance of the various jobs in the Security Services Unit.

**Performance Factor** — A grouping of activities, tasks and characteristics which are most important to performance of the job. Performance factors are defined on the Employee Performance Evaluation Rating Form or may be developed at the agency labor/management level subject to the approval of GOER and NYSCOPBA.

**Performance Indicator** — One of the levels of performance which describes performance on each performance factor.

**Rating Period** — 12-month period preceding each employee's performance evaluation rating.

**Reviewer** — Person who is the next level supervisor above the employee who conducts the performance evaluation.

**Security Services Unit Appeals Board** — The three member panel established at the Statewide level to review and rule on employee appeals from Performance Ratings of "Unsatisfactory."

**Supervisor** — Person who immediately supervises the employee whose performance is being rated.



## **APPENDIX B**

### **Security Services Unit Performance Evaluation Program**

#### **Supplementary Questions and Answers**

##### **I. Evaluation Procedures**

1. Q. *How many copies of the evaluation form should be made?*

A. Three. The original should be sent to the personnel office to be filed in the employee's personal history folder; one copy should go to the employee; and one copy should be sent to the central office. Routing and filing of copies should be indicated on the employee's copy.

2. Q. *Does the employee have to sign the evaluation form?*

A. The employee should sign, but if the employee refuses, the supervisor should note the refusal on all copies of the form.

3. Q. *What rating form is used to evaluate employees performing alleged out-of title work?*

A. Elimination of out-of-title work is consistent with the agreement and the classification and compensation plan governing Security Services Unit employees. Any out-of-title work issues which are identified as a result of the performance evaluation program should be referred to the appropriate processes for resolving out-of-title work issues.

4. Q. *Who evaluates an employee working away from direct supervision?*

A. The supervisor to whom the employee is assigned will complete the form. The supervisor should gather information regarding the employee's performance from other supervisors who regularly work with the employee.

5. Q. *What should be done if the employee is not available at the work location to sign the evaluation?*

A. The evaluation and review should be completed and held for the employee's signature if the employee will be returning in a reasonable amount of time. If the delay will be extensive, the forms may be delivered personally or sent via certified or registered mail to the employee and returned to the supervisor in the same way. The date on which the rating is delivered to the employee determines the date for filing an appeal.

6. Q. *How should a supervisor rate an employee who has been absent during the rating period?*

A. If the employee is absent **with** or **without** pay for a portion of the rating period, he/she is to be rated on his/her performance for the time actually worked.

If the employee is absent **with** pay for the entire rating period, he/she will be assigned the same rating received for the preceding rating period.

If the employee is absent **without** pay for the entire rating period, no rating is to be given.

**7. Q.** *If an employee is promoted, how is the evaluation date affected?*

A. The evaluation period begins over with the promotion date. The first rating is due one year from the date of promotion unless an earlier performance evaluation is necessary for performance advance purposes.

**Note:** Employees who have ten full pay periods (100 full work days) but less than six months of service in grade are eligible for a performance advance payment, but must be rated prior to April 1 to receive such payment. In such cases, an employee may be evaluated and rated with only five months of service. Thereafter, evaluations will take place on the employee's anniversary date in grade.

**8. Q.** *What happens if supervisor and reviewer do not agree on the employee's rating?*

A. Every effort should be made to reach a consensus, including consulting with higher levels of supervision; however, if an agreement cannot be reached, the reviewer's decision will prevail.

**9. Q.** *How long do performance evaluations stay in personal history folders?*

A. The Employee Performance Evaluation Rating Form is filed in the employee's official personal history folder as a permanent record.

## II. Appeal Procedure

1. Q. *Can a rating be lowered by an appeal board?*

A. No. The appeal can be either sustained and the rating raised one level, or denied.

2. Q. *How many copies of the appeal form should be made?*

A. Four: one for the employee, one for the board, one for the supervisor, and one for the personal history folder.

3. Q. *Does the supervisor have the right to appear before the appeals board?*

A. No. The supervisor will appear if requested to do so by the board; the supervisor may request to appear, but the board need not allow it. The essential element is that the board gets all the information it needs to reach an appropriate decision.

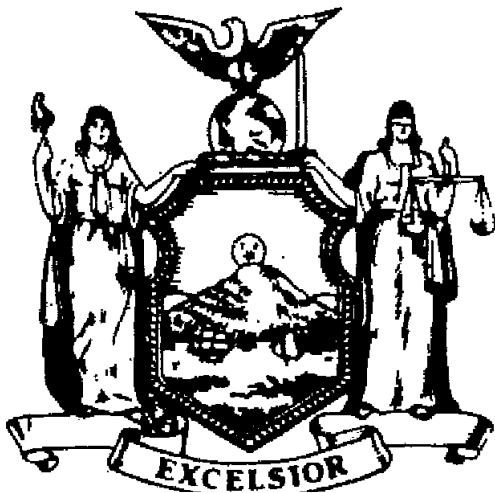
4. Q. *What ratings are appealable at the local level?*

A. All ratings are appealable at the first level. All appeals must begin at the first level. Appeals at higher levels are appeals of the denial of the board at the previous level.

5. Q. *If an employee changes agency or facility during the rating period, who is responsible for rating the employee?*

A. Since a change of agency or facility also constitutes a change of assignment, the provision outlined in the Handbook under **C. Rating Period and Frequency** (item 2, page 4) is applicable. When an employee has had more than one supervisor during the rating period (e.g., due to transfer of either supervisor or employee), the supervisor who is responsible for the employee

(to whom the employee reports) at the time the employee's evaluation is due is responsible for rating the employee. In doing so, that supervisor has the responsibility to check with the employee's previous supervisor(s) concerning performance - in the previous assignment(s) during the same rating period.



**State of New York**



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