



SOUTH MIAMI POLICE DEPARTMENT

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CFA STANDARD: 12 SUBJECT: <i>Performance Evaluation – ADMINISTRATION</i>	NEW (x) RESCINDS (X) AMENDS () OTHER ()	By Order Of:  Rene Landa, CHIEF OF POLICE	

CFA STANDARDS: 12.01, 12.02, 12.03, 12.04, 12.05, 12.06
SECTIONS:

- 17.1.1 Performance Evaluation System
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- 17.1.14 Personnel Stress Factor Review System

RESCINDS: All existing orders in conflict.

PURPOSE: To establish procedures and guidelines for the use of the employee performance evaluation system.

SCOPE: All departmental personnel.

POLICY: The employee performance evaluation is designed to record the evaluation of an employee’s performance, attitude, and behavior on the job as accurately and as fairly as possible. The evaluation will indicate how an employee’s performance has been evaluated by the employee’s immediate supervisor, bring out the employee’s strong and weak points, and serve as the basis for discussion of how performance may be improved. The evaluation also provides a vehicle for recognition of employee excellence. [CFA12.01(a)][CFA12.03]

DEFINITIONS:

PSFRS: The Personnel Stress Factor Review System is only one of a number of management tools for the review of employee's performance to gauge if action is need to improve performance.

PROCEDURE:

17.1.1 Performance Evaluation System

The Chief of Police will coordinate the performance evaluation system, and will notify the appropriate supervisors when one or more employees are due for a performance evaluation. The performance evaluation system utilized by the South Miami Police Department includes the following:

A. Measurement Definitions:[CFA12.01(b)]

1. **Achieves Excellence:** Employee's work fully achieves excellence, far exceeds job requirements and is outstanding, exceptional and distinctive.
2. **Exceeds Standards:** Employee's work is very good and surpasses regular expectations and exceeds job requirements.
3. **Meets Expected Standards:** Employee's work performance is satisfactory and meets expectations in performance and job requirements.
4. **Below Expected Standards:** Employee's work is weak and does not fully meet normal/ average job expectations. *If employee receives an unsatisfactory or marginal rating (2.99 or below), no merit increase will be given and a performance growth plan must be provided.*
5. **Unsatisfactory:** Employee's work is failing and well below job requirements. *If employee receives an overall unsatisfactory or marginal rating (2.99 or below), no merit increase will be given and a performance growth plan must be provided.*
6. **Not Applicable (N/A):** Should be indicated for factors which are not applicable to the particular position being evaluated or to functions which the employee has not performed during the current performance evaluation period.

- B. Procedures for the use of evaluation forms are outlined throughout this General Order and the Evaluation Manual Instructions for completing the forms are indicated on the performance evaluation forms themselves (see appendix). Employees who will be required to evaluate other employees as part of their job description will receive training commensurate with their responsibilities. [CFA12.01(f)]
- C. Rater Responsibilities: Unless otherwise directed, the rater is the employee's immediate supervisor at the end of the rating period. The rater should contact previous supervisors during the review period for additional performance evaluation information. The rater will complete the appropriate sections of the employee's performance evaluation accurately and timely prior to the issued due date. [CFA12.01(f)]

The performance evaluation should be representative of the employee's total performance for an entire evaluation period. Evaluations require well-planned, accurate and detailed information. The rater should take the necessary time and put considerable thought into each evaluation. The rater should prepare for the evaluation of his/her subordinate by:

1. Reviewing the employee's last evaluation;
2. Reviewing notes made during the preceding rating period, reviewing attendance records, personnel file, training records, letters of commendation, awards, etc;
3. Reviewing any statistical data that reflects the employee's measurable productivity for the rating period;
4. Becoming familiar with the contents, instructions, and scope of the evaluation forms; and
5. Attending departmental inservice training upon promotion, prior to completing evaluations.

After the employee's performance evaluation is completed by the rater, it will be reviewed by the rater's supervisor. After the completed and reviewed evaluation is returned, the rater will discuss the performance evaluation with the employee in an evaluation interview. At this time, the employee will be given an opportunity to ask questions and discuss his/her performance-related concerns.

17.1.2 Annual Evaluation

All employees will receive written performance evaluations conducted by their immediate supervisor at the end of the initial year and thereafter on the employee's anniversary date. The only exception to this policy shall be if the employee separates from service with the South Miami Police before the completion of the annual evaluation. [CFA12.01(d)]

Any employee receiving a rating of 2.99 or less shall undergo a follow-up performance evaluation every month for three (3) months. Any employee who receives a promotion will be required to undergo a monthly evaluation the first year in the new position and an evaluation once a year thereafter on the new anniversary date. Entry-level employees will be evaluated as noted in Section 17.1.3. Failure to maintain a performance level that is satisfactory can subject an employee to the disciplinary process.

- A. The Employee Performance Evaluation will indicate how an employee's past performance has been evaluated by the employee's immediate supervisor, bring out an employee's strong and weak points, and serve as the basis for discussion of how performance may be improved.
- B. Merit increases are not automatic and are based upon the annual Departmental Performance Evaluations as follows:
 - 1. An employee whose overall performance is rated "average" or better than 2.99 shall be entitled to a merit increase as proposed by the City Manager and adopted by the City Council as part of the annual budget.
 - 2. An employee whose overall performance is "marginal" or less than 2.99 shall not be entitled to a merit raise. However, if subsequent performance evaluations rate the employee "average" or better, they shall receive the merit increase at that time.
 - 3. If an employee's merit increase falls on the same date as the cost-of-living increase, the merit increase will be calculated based on and after the cost-of-living adjustment.
- C. A supervisor should meet with the employee prior to completing the evaluation to ensure that anything not showing in the file is documented, such as awards from outside entities or graduation from an academic program.

17.1.3 Evaluation of Sworn Probationary Employees

A written performance evaluation report will be completed on all sworn probationary employees on a weekly basis during their training and on a monthly basis during their solo assimilation period. A final written evaluation report will be completed on probationary employees following the conclusion of a probationary period using job related measures and procedures.[CFA12.06]

A. Police Officers:

- 1. During the Field Training Program, weekly performance evaluation reports will be completed on probationary police officers while on FTO training. The reports are completed by the Field Training Officer, and are

necessary in determining as soon as possible whether the employee is suited for his/her current position, and whether or not they can perform required police functions.

2. Once the probationary police officer has demonstrated a level of proficiency to justify assignment to solo status, the Field Training Officer will complete a Final Observation Report at the end of the training period which will be forwarded to the Field Training Lieutenant. No entry-level police officer will be recommended for regular, solo status employment until successful completion of his/her training period. The Patrol Administrative Sergeant will review all daily and final evaluations of the trainee officer and will complete a final recommendation for solo status after a "check out" ride with the officer.
3. Probationary Police Officers will receive a monthly evaluation from the completion of the FTO program through the first anniversary of employment, at which time, an annual evaluation will be done by the PPO's sergeant.

B. Police Sergeants:

1. Probationary Police Sergeants will receive a monthly evaluation from the date of promotion through the first anniversary of promotion, at which time, an annual evaluation will be done by the probationary sergeant's lieutenant.

C. Police Lieutenants, Captains, and Majors:

1. Probationary Police Lieutenants, Captains, and Majors will receive a six month evaluation on the six month anniversary of promotion. Six months later, an annual evaluation will be done by the probationer's supervisor.

D. Non-Sworn Departmental Personnel:

1. All non-sworn employees will participate in on the job training to prepare them for the responsibilities of their positions. A weekly performance evaluation and final evaluation will be completed on entry-level, non-sworn employees by the employee's trainer.
2. In addition to the above, the entry-level employee will be evaluated and recommended for solo status by the employee's immediate supervisor after the completion of the training period.
3. All non-sworn non-probationary members will receive an annual evaluation upon completion of their respective rating period.

17.1.4 Evaluation Criteria

The employee will be rated for performance in the position held during the rating period. The criteria used to form the basis of the employee's performance evaluation will reflect the tasks that the employee performs relative to the job description of his/her position.[CFA12.01(e)] Additionally, the employee's strengths, weaknesses and goals will be based on the job description of the employee's position. The evaluation shall be completed by the employee's immediate supervisor, who should be in the best position to have observed the employee's performance during the rating period. [CFA12.01(g)]. Upon completion of the evaluation, the immediate supervisor will affix their signature to the document.

The South Miami Police Department will utilize six (6) standardized performance evaluation forms specific to the job descriptions of the employees being evaluated. The performance evaluation forms are differentiated by the following categories:

- A. Probationary Police Performance Evaluation: Used for all probationary sworn police officers, police sergeants, police lieutenants and/or police captains.
- B. Sworn Police Performance Evaluation: Used for all sworn police officers.
- C. Supervisory and Administrative Police Performance Evaluation: Used for police sergeants, lieutenants, captains, and other ranks in a position of supervisory or administrative direction.
- D. Detectives Performance Evaluation: Used for police officers assigned to investigatory positions in C.I.D., S.I.U., or other units with similar duties.
- E. Communication Officer and Supervisor Evaluation: Used for all communication officers and communication supervisory personnel.
- F. Administrative Assistants, Secretaries, and Other Civilian Evaluation: Used for administrative assistants, secretaries, and other civilian departmental employees.

17.1.5 Evaluation Period

Employees will be evaluated for the specified "Evaluation Period" of time indicated on the first page of the evaluation form. The "Type of Review," also on the first page of the evaluation form, will signify the period type, such as: Annual, Monthly Follow-Up, etc. The evaluation is to be based only on the current rating period. Performance prior to or subsequent to the rating period will only be considered in noting significant changes.

- A. Trainee police officers assigned to the Field Training Officer program are evaluated weekly by their field training officers and are given a "Final Observation Report" at the end of their field training phases. This is in addition to the monthly and annual performance evaluations required on all Probationary Police employees.

- B. Non-sworn departmental employees assigned to trainers, such as dispatchers, are to be evaluated weekly by their trainer(s). When their training program has been completed, a final evaluation will be given by the trainer. This is in addition to the monthly and annual performance evaluations required on all Police employees.
- C. When the police officer has demonstrated a level of proficiency to justify assignment to solo status, the evaluations will then be monthly. Both the monthly and annual evaluations shall be completed by the immediate supervisor. No employee will be recommended for regular, solo status employment until successful completion of his/her training period.
- D. All employees will receive written performance evaluations conducted by their immediate supervisor once a year on the anniversary date of hire and/or date of position, whichever is most current.
- E. Employees will receive quarterly reports of their progress from their supervisor towards meeting set expectations for their performance.

17.1.6 Unsatisfactory Performance

Each supervisor will advise employees under their command whenever their performance is unsatisfactory. When an employee demonstrates unsatisfactory performance and said performance may be documented as such on the employee's annual performance rating, the employee will receive written notice of the behavior at least ninety (90) days prior to the end of the rating period. [CFA12.05] The memo will indicate the area(s) of performance that is unsatisfactory, and the actions the employee must take to be considered performing satisfactorily.

17.1.7 Explanatory Comments

Comments on the evaluation form by the rater are required as these comments provide the employee with a clearer understanding of his/her performance throughout the year and also serve as a guide for future performance. The comment section is an area where the rater may wish to set specific goals for the coming evaluation period, and comments which generally describe overall performance and other information. Additional comments are required for each category in the evaluation form to further clarify the individual performance ratings. Comments can be written on any rating topic, but are required when performance ratings in any one area or for an overall score is below expected standard (below a 3 on a scale of 1 to 5) or exceeds standard (above a 4 on a scale of 1 to 5). [CFA12.01(C)]

17.1.8 Responsibility of Rater's Supervisor

- A. Prior to the evaluation interview with the employee, the performance evaluation will be reviewed and signed by the rater's supervisor. The reviewing supervisor will record any additional comments on the evaluation report as necessary. In cases where there is disagreement between the reviewing supervisor and the rater, the supervisor will discuss the discrepancy with the rater and reach an agreement on the appropriate evaluation ratings, then forward same through the chain of command prior to presenting the evaluation to the employee. The corresponding corrections will be made and the evaluation will be signed by the employee, and then sent through the chain-of-command.
- B. The Police Bureau Commanders (Captains) are responsible for maintaining a current list of departmental personnel under their command with their respective annual and/or initial six month performance evaluation due dates. The City HR Director will assist in this task by providing monthly updates of all City employee performance evaluation due dates to the Chief of Police. These updates will be sent to the appropriate Lieutenant for processing.
- C. The Chief of Police will review and approve the Employee Performance Evaluation reports, which are then forwarded for approval to the Personnel Officer and City Manager, respectively.

17.1.9 Employee Counseling

For a performance evaluation to be an effective tool, each employee will be counseled at the start of each evaluation period by their immediate supervisor in the following areas: [CFA12.04]

- A. Task of the position occupied; [CFA12.04(a)]
- B. Level of performance expected; [CFA12.04(b)]
- C. The criteria used for ratings on the evaluation. [CFA12.04(c)]

Each employee shall be counseled at the conclusion of the rating period in the following areas:

- A. An interview will be scheduled to discuss the results of the evaluation just completed. Full participation will be encouraged and comments solicited on pertinent points, such as any category receiving a rating of conditional or less.
- B. A program for suggestions and improvements will be outlined with input from the employee. The rater will stress interest in the employee's work pattern and career goals, and cite examples of good and bad performances. The rater will be direct and accurate and give the employee ample opportunity to present relevant

information. The rater will clearly define the performance expected, rating criteria or goals for the new reporting period.

A performance improvement plan is an important part of the evaluation process. It may consist of a plan for improving areas in which the employee is weak, or it may involve plans for career development. It will include the goals and objectives toward which the employee will be working. Methods for achieving the objectives and anticipated completion dates for each objective are included.

- C. The rater will explain possibilities for upward mobility, specialization in particular areas, and appropriate training opportunities relevant to the employee's position.

17.1.10 Employee Signature and Comment

After the performance evaluation report has been reviewed according to Section 17.1.8, it will be discussed by the employee and the rater. This discussion is the most important part of the performance evaluation process. It provides an opportunity for a frank and constructive discussion of the employee's performance in relation to his/her position. [CFA12.02(a)]

It is the supervisor's responsibility to explain clearly to the employee the factors considered in making the evaluation. Specific examples of performance should be discussed in detail. The employee should be commended for work well done and helped to understand in what specific ways he/she needs to improve.

- A. Employees will be given an opportunity to make written comments regarding the evaluation and their job performance, including their concurrence or disagreement with the evaluation. [CFA12.02(b)] They may also offer reasons why they feel a different rating is justified for any single rating factor.
- B. An employee receiving an unsatisfactory rating in any of the performance categories will be encouraged to comment on that rating in the improvement section of the performance evaluation form.
- C. After the evaluation discussion, any errors, erasures or other changes made on the evaluation form during the conference will be initialed by the rater, the employee, and the reviewer. The employee will be given the opportunity to sign the completed performance evaluation to indicate the employee has read the document. [CFA12.02(c)] The signature does not necessarily mean that the employee agrees with its entirety.

17.1.11 Employee Copy

Upon completion of all reviews and signatures, copies will be made of the original. A copy will be given to the employee for his/her reference. [CFA12.01(h)] The original performance evaluation report is then retained as a permanent part of the employee's personnel file.

17.1.12 Appeal Process

If an employee wishes to contest an evaluation report: [CFA12.01(D)]

- A. Following the performance evaluation conference, the rater will ask the employee to sign the form and indicate agreement or disagreement with the ratings given. If the employee disagrees, the rater will encourage attaching comments. Employees have ten (10) working days after they have been notified and have viewed the results of their performance evaluation to appeal. This appeal is to be submitted on a departmental memorandum to the employee's immediate supervisor.
- B. An employee has the right to disagree with an evaluation report, and the rater should not view disagreement negatively. The rater will attempt to resolve any conflict before the evaluation process is concluded within seven (7) working days.
- C. If a conflict cannot be resolved between rater and employee at this step, then a conference between the employee, rater, and a reviewer (i.e. UPD Lieutenant) will be arranged. If the parties still cannot reach agreement, then a meeting with the Chief of Police will be scheduled to attempt to resolve the situation. The decision of the Chief of Police is final.

17.1.13 Evaluation Retention

Performance evaluations are retained indefinitely by the City Personnel Department as part of the employee's personnel files. In cases of employee separation, termination, or retirement, performance evaluations and corresponding personnel files are retained for a period of fifty (50) years.

17.1.14 Personnel Stress Factor Review System

- A. The Department has a responsibility to its employees and the community to identify and assist employees who have symptoms of stress and/or performance problems. Quality police service requires sensitivity and self-discipline on the part of those providing such service, often under trying circumstances. Although no specific behavior is absolutely characteristic of stress and/or performance problems, it is important that certain criteria be reviewed carefully and routinely.

- B. The Personnel Stress Factor Review (PSFR) System is designed to identify and monitor certain criteria that might be indicia of behavior requiring structured supervisory review of the officer or employee involved and his/her course of conduct. The Personnel Stress Factor Review System is monitored by the Chief of Police and the Internal Affairs Unit. The factors to be monitored are not in themselves an indication of inappropriate behavior, but serve as one tool to assist supervisors in evaluating and guiding employees.
- C. A memorandum to the Chief of Police with copies via chain of command to each Division Lieutenant, will be prepared quarterly by the Internal Affairs Unit. The memorandum will be divided into five sections and will include the following:
1. Complaint Cases: A listing of all employees with two (2) or more Internal Affairs or Personnel Complaints during the previous quarter or three (3) or more such complaints during the last calendar year.
 2. Uses of Force: A listing of all officers involved as principals with three (3) or more use of force incidents during the previous quarter or more than five (5) uses of force incidents in the last calendar year.
 3. Disciplinary Report: A listing of all employees with two (2) or more written Disciplinary Reports during the last quarter or three (3) or more written Disciplinary Reports during the last calendar year.
 4. Discharge of Firearms: A list of all officers with any incidents involving the discharge of firearms during the previous one (1) year period.
 5. Other Events: A list of officers with two (2) or more job related injuries or two (2) or more traffic crashes during the last quarter or three (3) or more of those incidents in the previous one year period.
- D. Upon receiving the report from the Internal Affairs Unit, the report will be routed from the Office of the Chief through the appropriate Bureau chain of command for review by the supervision of the respective officer listed in the report for review, assessment, and recommendations. The immediate supervisor will review the incidents involved as well as the overall performance of the officer to determine if there is any need for supervisory measures to be taken. It can be possible that all measures taken by the officer were legal and proper within guidelines set by Departmental policy and State law, or already subject to discipline; if so the supervisors in the chain will make note of this in their response to the Chief of Police. The supervisory review and response should be returned to the Office of the Chief within thirty days.
- E. If during the review process, it is the decision that additional steps are needed to correct or improve the performance of an employee, a recommendation shall be

directed towards correcting the behavior of the listed officer or employee who was involved in incidents documented in the P.S.F.R. Report. This recommendation will take into consideration each officer's current assignment (i.e. administrative assignment versus an operational assignment). Recommendations may include, but need not be limited to the following:

1. Reassignment;
 2. Additional Training;
 3. Transfer to a more suitable assignment or shift;
 4. Referral to the Employee Assistance Program for appropriate program or referral;
 5. Fitness for duty evaluation;
 6. Disciplinary action up to and including termination, if appropriate, pursuant to City Employee Policies and Procedures.
 7. Supervised observation periods in the field
 8. No action needed.
- F. The affected employee's Division Commander shall ensure the authorized action is implemented. The final report and all attached documentation shall be sent to the Internal Affairs Unit for retention.