

STATE OF MARYLAND

**Department of Public Safety
and Correctional Services**

**PATUXENT INSTITUTION
Directive**



PID #50- 6

DATE: July 15, 2005

SUBJECT: Personnel

TITLE: Performance Evaluations

- I. REFERENCE: State Personnel and Pensions Title 9, Subtitle 7
Code of Maryland Regulations 17.04.03.21 and
17.04.05.03.G
- II. APPLICABLE TO: All Permanent Employees
- III. PURPOSE: The Performance Planning and Evaluation Program (PEP) is a process by which supervisors and employees can come together to discuss goals, objectives, and expected performance throughout the year. This process allows the supervisor and employee to improve their communication and plan for higher levels of output from the unit or department. The actual performance evaluation is a logical extension of the process which allows the supervisor and employee to appraise and discuss the accomplishment of certain standards and goals.
- IV. DEFINITIONS: Entrance On Duty Date (EOD) - the date on which the employee began State Service.
- V. POLICY AND PROCEDURE:
 - A. The PEP Cycle - General
 - 1. The PEP cycle begins on the anniversary of each employee's EOD date.
 - 2. The Personnel Office shall ensure that a current Position Description Form (PDF) (MS 22) is accurately prepared by the supervisor for each permanent employee of the Agency. This PDF must contain Standards of Performance for the position.

3. The PEP Cycle consists of a beginning meeting, a mid-cycle meeting, and a final performance meeting. Following an employee's initial cycle, the final performance meeting of one cycle and the beginning meeting for the next cycle may be held together.

B. Beginning of Cycle

1. At the beginning of each fiscal year, the Personnel Office will ensure that a Performance Evaluation flow sheet is disseminated to each department indicating entrance on duty dates for all employees assigned to the respective department.
2. The department head will be responsible for ensuring that the information needed to conduct the evaluations (i.e., entrance on duty dates, behavioral elements, PEP forms, etc.) is disseminated to each supervisor.
3. Within fifteen (15) days of the anniversary of the EOD date, the supervisor shall schedule a meeting with the employee to review the upcoming year's performance plan. The purpose of this meeting is for the supervisor to review with the employee his/her current job description, actual performance plan, behavioral elements, performance standards, and Fair Practices Statement.
4. Once these standards and expectations are discussed, the supervisor and employee sign the planning and evaluation form to document the completion of the performance planning process. The date of the meeting shall be recorded on the Performance Plan. The employee shall be given a copy of the entire PEP (job description, behavioral elements, score sheet, and actual Performance Evaluation Plan).
5. The supervisor will return the completed Plan to the department head who will be responsible for maintaining the packet until the Mid-Cycle rating is due. The department head will, within fifteen (15) days of the employee's six month anniversary date, once again disseminate the entire PEP packet to each supervisor.

C. Mid-Cycle Rating

1. A Mid-Cycle Rating is to be completed six months from the employee's EOD anniversary date. The employee is to be given at least five days written notice of the meeting. The purpose of the mid-cycle rating is for the employee and the supervisor to discuss how well the employee is meeting the standards set forth during the planning meeting held at the beginning of the rating year.

2. The employee shall be given the opportunity to complete a Self-Assessment and bring it to the meeting with him/her.
3. During this mid-cycle meeting, the supervisor and employee shall discuss the mid-cycle performance review and self-assessment.
4. The supervisor and employee should pay particular attention to those areas which receive a rating of "Needs Improvement" or "Unsatisfactory." The supervisor and employee shall create a Performance Improvement Plan to address these problems. The supervisor should detail specific plans for improved performance. The supervisor will specify the action required by the employee and the time frame for completion. The employee shall be given the original Performance Improvement Plan, the supervisor should keep a copy and a copy shall be forwarded to the Personnel Office.
5. The supervisor will return the PEP to the department head who will be responsible for disseminating the information to each supervisor within fifteen (15) days of the employee's anniversary date.

D. End of Cycle Rating

1. End of Cycle Rating is to be conducted within fifteen (15) days of the employee's EOD anniversary date. The purpose of the end of cycle rating is for the employee and supervisor to discuss how well the employee met the standards as set forth on position description form and to discuss plans for growth in the coming year.
2. The employee is to be given at least five days written notice of the meeting. The employee shall be given the opportunity to complete a Self-Assessment and bring it to the meeting with him/her.
3. During the End of Cycle Rating, the employee and supervisor will discuss the employee's performance during the previous year. In addition, they will discuss future development plans.
4. The supervisor and employee should pay particular attention to those areas which receive a rating of "Needs Improvement" or "Unsatisfactory." The supervisor and employee shall create a Performance Improvement Plan to address these problems. The supervisor should detail specific plans for improved performance. The supervisor will specify the action required by the employee and the time frame for completion. The employee should be given the original Performance Improvement Plan, the supervisor shall maintain a copy, and a copy shall be forwarded to the Personnel Office for inclusion in the employee's personnel file.

5. When an employee has been given an overall final rating of “Needs Improvement” on an annual performance appraisal, the employee’s supervisor shall inform the employee that the employee has 180 days from issuance of the rating to improve to the level of “Meets Standards.” Approximately midway through the 180-day period, the employee and the employee’s supervisor shall meet to evaluate the employee’s progress toward meeting standards. This meeting shall be documented. Failure to meet standards at the end of the 180-day period shall result in a recommendation for the employee’s termination. Any employee who has an overall final rating of “Needs Improvement” shall have their next salary increment withheld.
6. When an employee has been given an overall final rating of “Unsatisfactory” on an annual performance appraisal, the employee’s supervisor shall inform the employee that the employee has 90 days from issuance of the rating to improve to the level of “meets standards”. Approximately mid-way through the 90-day period, the employee and the employee’s supervisor shall meet to evaluate the employee’s progress toward meeting standards. This meeting shall be documented. Failure to meet standards at the end of the 90-day period shall result in recommendation for termination. Any employee who has an overall final rating of “Unsatisfactory” shall have their next salary increment withheld.
7. An employee may not receive an overall rating of “Unsatisfactory” on the employee’s final annual performance appraisal unless the employee already received an overall “Unsatisfactory” rating on the employee’s previous mid-year appraisal.
8. Employees who are rated as “Meets Standards” will be entitled to their annual increment, if funds are appropriated.
9. The approval of the Director on each performance appraisal is required before it is final.
10. Once approved and signed by the Director, the supervisor and employee shall sign the Performance Plan. The supervisor shall give the employee a copy of the final performance appraisal; retain a copy, and place a copy in the employee’s personnel file.

E. Interim Conferences for Performance Improvement Planning

1. Interim conferences between an employee and the employee’s supervisor to evaluate the employee’s progress in meeting

objectives established during the previous mandatory performance appraisal may be convened as necessary.

2. If, at any time, employee performance is not meeting the standards that have been documented during the Performance Planning meeting, the supervisor should provide regular feedback to the employee, as well as document the specific performance problem. In some cases, a supervisor may determine that overall employee performance is "Unsatisfactory" or "Needs Improvement." In such instances it is the responsibility of the supervisor to implement a Performance Improvement Plan using the appropriate form for documentation and forwarding a copy to the Personnel Office.
3. The supervisor should describe the Essential Job Functions, Performance Standards, Behavioral Elements and/or goals and objectives that are not being met during the current cycle, or may not be met at the end of the performance period. The supervisor should also describe the specific behaviors or conduct that should change for performance to improve.
4. The supervisor should detail specific plans for improved performance. The supervisor will specify the action required by the employee and the time frame for completion. Employee failure to complete the required action, and improve performance, may result in progressive discipline and/or termination.
5. The employee and the supervisor shall both sign the form to certify that a Performance Improvement Plan has been discussed and developed, and that all parties understand the significance of the Plan.

Rescinds: PID 50-6 dated 9/1/91



Randall S. Nero, Ph.D.
Director

DISTRIBUTION: A
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