

PEP Process and Forms for Supervisors

Teamwork
Development

Training
Management

Organization
PEP

START

Performance Planning and Evaluation Process

INSTRUCTIONS

To complete the Performance Planning and Evaluation Process you will need to conduct mid-cycle evaluations, end-of-cycle evaluations, and beginning-of cycle meetings as described in the following program.

Performance Planning and Evaluation Process

INSTRUCTIONS and Overview

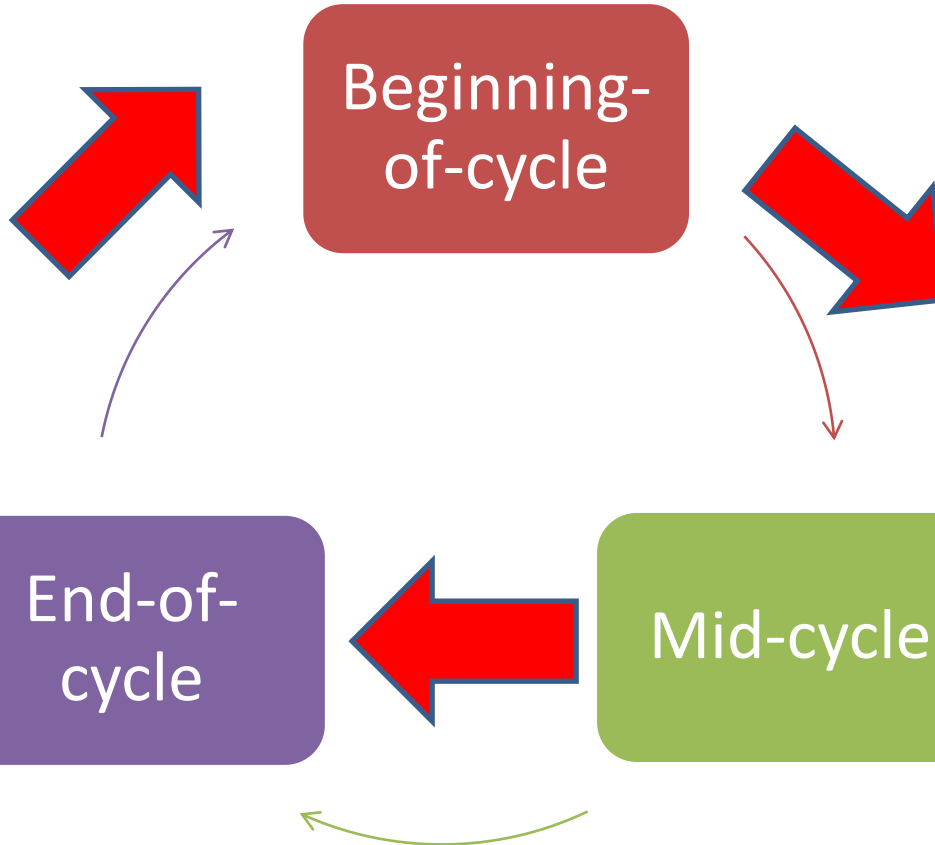
To complete the Performance Planning and Evaluation Process you will need to conduct mid-cycle evaluations, end-of-cycle evaluations, and beginning-of cycle meetings as described in the following program.

- The PEP Process is meant to help employees with performance problems to improve.
- Progressive Discipline is used to hold employees with performance problems accountable if they do not improve.
- If the employee is not being rated on a particular Performance Standard or Behavioral Element for that rating period, an explanation of why it is not being rated needs to be written in the supervisor's comments section.

Performance Planning and Evaluation Process

Employees with a **January** increment month will be at beginning-of-cycle in **January** and those with a **July** increment month will be at beginning-of-cycle in **July**.

A beginning-of-cycle Planning meeting should occur right after the end-of-cycle PEP.



Employees with a **January** increment month will be at end-cycle in **December** and those with a **July** increment month will be at end-cycle in **June**. They should receive a Performance Evaluation AND a beginning-of-cycle Planning meeting.

Employees with a **January** increment month will be at mid-cycle in **June** and those with a **July** increment month will be at mid-cycle in **December**. They should receive a memo if performance is satisfactory or a mid-cycle Performance Evaluation if performance is Unsatisfactory.

Performance Planning and Evaluation Process

WHEN to do PEPs????

Employee's Increment Month **	Entry-on-duty Date (EOD) **	Beginning-of-cycle Month	Mid-cycle Month	End-of-cycle Month
<u>January</u>	January - June	January	June	December
<u>July</u>	July - December	July	December	June

**** NOTE:** Most PEPs are based on EODs that conform to the January or July increment months; however, there are some exceptions. An employee may have an EOD date that does not conform to the EOD date in this chart. If you have this kind of situation with one of your employees, you need to use the EOD date to determine when to do the PEP.

Performance Planning and Evaluation Process

Mid-cycle

WHEN: **June** (increment month is January; EOD is Jan-June)
 December (increment month is July; EOD is July-Dec)

WHAT you need: Copy of performance status memo
 PEP Statistical Data Form

WHAT: **IF Performance is SATISFACTORY**

- Communicate performance status via a memo
- Complete PEP Statistical Data Form

PEP Statistical Data Form

MID-CYCLE if overall rating is **SATISFACTORY** or **OUTSTANDING**

PEP Statistical Data Form

PEP Statistical Data Collection Form
For Management, Skilled, Professional Service, and
Special Appointment Employees
(Please print or type)

Employee's Name: _____
Last First MI

SSN: _____ Inc. Month: _____ January _____ July
(required) FY 20__

DHMH Agency: _____

Mid Cycle Rating: 3 (outstanding) 2 (satisfactory) 1 (unsatisfactory)

End Cycle Rating: 3 (outstanding) 2 (satisfactory) 1 (unsatisfactory)

Person Completing Form: _____ Date: _____
Please Print Name

Original to Office of Human Resources (do not keep copies of this data)

(This form is for statistical purposes only)

Check "2" or "3" to indicate mid-cycle rating of Satisfactory or Outstanding.

Send this form along with a copy of the satisfactory or outstanding performance memo to the designated Human Resources person in your unit.

Since this is for HR Administration purposes only, do not make a copy for yourself or give a copy to the employee.

Performance Planning and Evaluation Process

Mid-cycle

WHEN: June (increment month is January; EOD is Jan-June)
December (increment month is July; EOD is July-Dec)

WHAT you need: PEP Form
PEP Statistical Data Form
Performance Improvement Plan

WHAT: IF Performance is UNSatisfactory

- Complete Mid-cycle performance evaluation
- Communicate evaluation in a meeting with attention to those areas that are unsatisfactory.
- Obtain signatures
- Complete PEP Statistical Data Form
- Create a Performance Improvement Plan to address areas of deficiency.

You should check the protocol in your unit before conducting the evaluation meeting and obtaining signatures since most of the time your Division Manager would need to approve an unsatisfactory rating.

NOTE: No disciplinary action is attached to the mid-cycle rating, and the mid-cycle rating is therefore not grievable. However, employee may submit a written response within five (5) days of evaluation.

Performance Planning & Evaluation Form – Page 1

MID-CYCLE (To be completed ONLY if overall rating is **UNSATISFACTORY**)

**State of Maryland Performance Evaluation
For Non-Supervisory Employees**

This evaluation is intended to facilitate communication between supervisors and employees regarding expectations of job performance and to provide a mechanism for the evaluation of actual performance.

Employee Name:		Beginning Date:	
Supervisor's Name:		Fiscal Year:	
Employee Status:	Special Appointment Executive Service	Management Service Political Special Appointment	

Does the employee's Position Description (PD) accurately reflect the current, and anticipated, duties and responsibilities for the upcoming review period? (If no, modify the PD as required before beginning the review period.)

Yes No - Date Modified: _____

Ratings:

3 = Outstanding:	Exceptional performance. Achievements are clearly superior to the level of performance required for the job.
2 = Satisfactory	Met the required and expected results for the job. Good performance which is expected of a fully experienced or competent employee.
1 = Unsatisfactory:	Performance is unacceptable and shows no significant progress or improvement. Improvement is critical.

	Performance of Job Duties (rate individual Position-Specific Performance Standards only if Overall Work Quality is Unsatisfactory)	Mid Cycle Rating	End Cycle Rating
1	Overall Work Quality		
2			
3			
4			
5			
6			
7			

Number of Position-Specific Performance Elements Rated: 0 0

Click January or July depending on the increment month.

This is the fiscal year in which the performance cycle ends.

If the employee is not being rated on a particular Performance Standard or Behavioral Element for that rating period, an explanation of why it is not being rated needs to be written in the supervisor's comments section.

You must rate each job duty listed in lines 2-7 if performance is Unsatisfactory.

Enter nothing; the system will calculate this.

Performance Planning & Evaluation Form – Page 2

MID-CYCLE (To be completed ONLY if overall rating is **UNSATISFACTORY**)

Behavioral Elements		Mid Cycle Rating	End Cycle Rating
Work Ethic			
1	Maintains good attendance (The use of FMLA-qualifying leave should not be considered)		
2	Follows call-in/leave policies		
3	Reports to work area on time and does not leave until designated time		
Team-Work			
4	Works cooperatively with others to implement the Department's goals		
Communication			
5	Speaks effectively		
6	Writes effectively (clear, organized, appropriate grammar, punctuation)		
7	Interacts positively with co-workers		
Customer Service			
8	Strives to meet customer requirements		
9	Is courteous to customers and co-workers		
10	Provides timely, accurate and appropriate information to internal and external customers		
11	Presents a professional image to customers in attire and maintenance of workspace		
12	Keeps commitments and follows through on customer requests		
Initiatives			
13	Solves problems without being asked		
14	Works to continuously improve processes		
15	Engages in opportunities for self-improvement		
Work Performance			
16	Appropriately prioritizes work		
17	Completes assignments accurately and on time		
18	Maintains confidentiality		
19	Exercises appropriate judgment		
20	Follows directions		
Number of Behavioral Elements Rated:		0	0
Total Number of Elements Rated:		0	0

Enter a rating for each behavioral element in the Mid-Cycle Rating column.

If the employee is not being rated on a particular Performance Standard or Behavioral Element for that rating period, an explanation of why it is not being rated needs to be written in the supervisor's comments section.

Enter nothing; the system will calculate this.

Performance Planning & Evaluation Form – Page 3

MID-CYCLE (To be completed ONLY if overall rating is UNSATISFACTORY)

Mid Cycle Rating:		
Outstanding	Satisfactory	Unsatisfactory
3.00 - 2.75	2.74 - 1.75	1.74 - 1.00
Tasks to be Achieved Before the End of Cycle Rating:		
Training Recommendations:		
Supervisor's Comments:		
Employee's Comments:		
I understand that this is a: ___Special Appointment; ___ Management Service; ___Executive Service; ___Political Special Appointment position in which I serve at the pleasure of the appointing authority.		
Employee Signature:		Date:
No personnel action shall be taken or refused as a reprisal against an employee who refuses to sign this evaluation. The supervisor shall note the refusal on the employee's signature line.		
Supervisor Signature:		Date:
By my signature I attest that I understand and adhere to the Governor's Code of Fair Employment Practices, 01.01.2007.16.		
Division Manager:		Date:

Enter nothing; the system will calculate this. The number calculated by the system must be 1.74 or less to have an Unsatisfactory mid-cycle rating.

Since you will only be doing the mid-cycle evaluation if the employee's performance has been unsatisfactory, these need to be very clear. The details and action plan should be on the Performance Improvement Plan.

Enter any comments that you think are appropriate to indicate your commitment to helping this employee be successful. You could comment on the importance of this employee's satisfactory performance in the success of your unit.

Give the employee the opportunity to comment. If you think it's appropriate you could encourage the employee to comment on their commitment to doing what he/she thinks is needed to be successful.

Have the employee sign and date the document. If the employee refuses to sign, note the refusal on the employee's signature line.

Sign and date the document and have your Division Manager sign and date the document.

Remember, you should check the protocol in your unit before conducting the evaluation meeting and obtaining signatures since most of the time your Division Manager would need to approve an unsatisfactory rating.

Performance Improvement Plan

MID-CYCLE (To be completed ONLY if overall rating is **UNSATISFACTORY**)

**State of Maryland Performance Planning and Evaluation Program
Performance Improvement Plan**

Employee Name:	Supervisor:
Social Security Number:	Department/Unit:

I. INTERIM PERFORMANCE REVIEW: Assign an overall performance rating for the employee's performance to date. Briefly summarize overall (positive and negative) performance.

Performance Rating:

II. AREAS OF CONCERN: What specific job functions, standards, and/or goals are not being met or may not be met at the end of the performance period? What specific behaviors or conduct need to change for performance to improve?

III. ACTION PLAN: How will those areas of concern be addressed? Detail the plans to improve performance (change in job function, supervision, coaching, counseling, and/or training).

ACTION REQUIRED	TARGET DATE FOR COMPLETION

EMPLOYEE CERTIFICATION: I hereby certify that I have personally reviewed this report, and understand that my signature does not imply agreement or disagreement.

Employee's Signature (Date)

SUPERVISOR CERTIFICATION: I hereby certify that this report constitutes my best judgment of the performance of this employee, and is based on personal observation and knowledge of his/her work.

Supervisor's Signature (Date)

Date of Performance Improvement Plan Meeting

Reviewer's Signature (Date)

The Performance Improvement Plan documents the details of an employee's unsatisfactory performance and/or behavior and the specific action planned for the employee to improve performance and/or behavior.

You should work with your immediate manager and your Personnel Officer to make the best use of this document. If performance does not improve you will need this documentation to begin progressive discipline.

DO NOT WAIT for a mid or end-of-cycle PEP to use a Performance Improvement Plan. This document should be used as soon and as often as you notice that an employee's performance and/or behavior are unsatisfactory.

PEP Statistical Data Form

MID-CYCLE if overall rating is **UNSATISFACTORY**

PEP Statistical Data Form

PEP Statistical Data Collection Form
For Management, Skilled, Professional Service, and
Special Appointment Employees
(Please print or type)

Employee's Name: _____
Last First MI

SSN: _____ Inc. Month: _____ January _____ July
(required) FY 20__

DHMH Agency: _____

Mid Cycle Rating: 3 (outstanding) 2 (satisfactory) 1 (unsatisfactory)

End Cycle Rating: ___ 3 (outstanding) ___ 2 (satisfactory) ___ 1 (unsatisfactory)

Person Completing Form: _____ Date: _____
Please Print Name

Original to Office of Human Resources (do not keep copies of this data)

(This form is for statistical purposes only)

Check "1" indicate mid-cycle rating of Unsatisfactory.

Send this form the original signed Mid-Cycle PEP Evaluation Form to the designated Human Resources person in your unit.

Since this is for HR Administration purposes only, do not make a copy for yourself or give a copy to the employee.



Performance Planning and Evaluation Process

End-of-cycle

WHEN: **June** (increment month is July; EOD is July-December)
December (increment month is Jan; EOD is Jan-June)

WHAT you need: PEP Form
PEP Statistical Data Form

WHAT: **IF Performance is Satisfactory**

You should check the protocol in your unit before conducting the evaluation meeting and obtaining signatures since most of the time the Appointing Authority needs to approve salary increments for a satisfactory or outstanding rating.

- Complete End-of-cycle performance evaluation
- Communicate evaluation in a meeting
- Obtain signatures
- Complete PEP Statistical Data Form

NOTE: The Beginning-of-cycle meeting and End-of-cycle meeting may coincide after the first year of employment.

Performance Planning & Evaluation Form – Page 1

END-OF-CYCLE

State of Maryland Performance Evaluation For Non-Supervisory Employees		
This evaluation is intended to facilitate communication between supervisors and employees regarding expectations of job performance and to provide a mechanism for the evaluation of actual performance.		
Employee Name: _____	Beginning Date: _____	
Supervisor's Name: _____	Fiscal Year: _____	
Employee Status: _____	Special Appointment Executive Service	Management Service Political Special Appointment
Does the employee's Position Description (PD) accurately reflect the current, and anticipated, duties and responsibilities for the upcoming review period? (If no, modify the PD as required before beginning the review period.)		
<input type="checkbox"/> Yes <input type="checkbox"/> No - Date Modified: _____		
Ratings:		
3 = Outstanding:	Exceptional performance. Achievements are clearly superior to the level of performance required for the job.	
2 = Satisfactory	Met the required and expected results for the job. Good performance which is expected of a fully experienced or competent employee.	
1 = Unsatisfactory:	Performance is unacceptable and shows no significant progress or improvement. Improvement is critical.	
Performance of Job Duties (rate individual Position-Specific Performance Standards only if Overall Work Quality is Unsatisfactory)		Mid Cycle Rating
1 Overall Work Quality		End Cycle Rating
2		
3		
4		
5		
6		
7		
Number of Position-Specific Performance Elements Rated:		0 0

Click January or July depending on the increment month.

This is the fiscal year in which the performance cycle ends.

Enter a "2" or "3" to indicate an Overall Work Quality rating of Satisfactory or Outstanding. Do not rate each element if the work quality is Satisfactory or Outstanding; if any element is unsatisfactory mention this in the Supervisor's Comments section on page 4.

If performance is Unsatisfactory you must rate each each job duty listed in lines 2-7.

Enter nothing; the system will calculate this.

You must provide an explanation in the supervisors comment section for any rating other than 2, or for any performance standard or behavioral element that is not being rated.

Performance Planning & Evaluation Form – Page 2

END-OF-CYCLE

Behavioral Elements		Mid Cycle Rating	End Cycle Rating
Work Ethic			
1	Maintains good attendance (The use of FMLA-qualifying leave should not be considered)		
2	Follows call-in/leave policies		
3	Reports to work area on time and does not leave until designated time		
Team-Work			
4	Works cooperatively with others to implement the Department's goals		
Communication			
5	Speaks effectively		
6	Writes effectively (clear, organized, appropriate grammar, punctuation)		
7	Interacts positively with co-workers		
Customer Service			
8	Strives to meet customer requirements		
9	Is courteous to customers and co-workers		
10	Provides timely, accurate and appropriate information to internal and external customers		
11	Presents a professional image to customers in attire and maintenance of workspace		
12	Keeps commitments and follows through on customer requests		
Initiatives			
13	Solves problems without being asked		
14	Works to continuously improve processes		
15	Engages in opportunities for self-improvement		
Work Performance			
16	Appropriately prioritizes work		
17	Completes assignments accurately and on time		
18	Maintains confidentiality		
19	Exercises appropriate judgment		
20	Follows directions		
Number of Behavioral Elements Rated:		0	0
Total Number of Elements Rated:		0	0

Enter a rating for each behavioral element in the End-of-Cycle Rating column.

You must provide an explanation in the supervisors comment section for any rating other than 2, or for any performance standard or behavioral element that is not being rated.

Enter nothing; the system will calculate this.

Performance Planning & Evaluation Form – Page 4

END-OF-CYCLE- SATISFACTORY

End Cycle Rating:		
Outstanding	Satisfactory	Unsatisfactory
3.00 - 2.75	2.74 - 1.75	1.74 - 1.00

Enter nothing; the system will calculate this and put the number in the appropriate box. **NOTE: If rating is UNSATISFACTORY refer to the next section for completion instructions for this page.**

Tasks to be Achieved Before the Next Mid-Cycle Rating:

Discuss and record any specific tasks to be performed before the next mid-cycle rating that may apply to a specific job duty that was not satisfactory even though the overall rating is satisfactory.

Training Recommendations:

Discuss and record training necessary to improve performance or to enhance professional development.

Supervisor's Comments:

Enter comments concerning outstanding performance or behaviors or other duties that are not identified elsewhere on the form.

Employee's Comments:

Give the employee the opportunity to write any comments.

Remember, check the protocol for signatures in your unit before having the employee sign the PEP. The Appointing Authority must approve the PEP and any granting of an increment before presenting it to the employee.

is a: ___ Special Appointment; ___ Management Service; ___ Executive
 Special Appointment position in which I serve at the pleasure of the

Have the employee sign and date the document. If the employee refuses to sign, note the refusal on the employee's signature line.

No personnel action shall be taken or refused as a reprisal against an employee who refuses to sign this evaluation. The supervisor shall note the refusal on the employee's signature line.

Sign and date the document. Your signature acknowledges that you understand and adhere to the Governor's Code of Fair Employment Practices.

I attest that I understand and adhere to the Governor's Code of Fair Employment Practices, 01.01.2007.16.

Have the Appointing Authority in your unit sign and date the document.

(Revised 5/20/10)

Performance Planning and Evaluation Process

End-of-cycle

WHEN: June (increment month is July; EOD is July-December)
December (increment month is Jan; EOD is Jan-June)

WHAT you need: PEP Form
PEP Statistical Data Form
Performance Improvement Plan

WHAT: IF Performance is UNSatisfactory

- Complete End-of-cycle performance evaluation
- Communicate evaluation in a meeting
- Inform employee that employee has 180 days to improve to the level of “Satisfactory.”
- Complete Performance Improvement Plan.
- Obtain signatures
- Complete PEP Statistical Data Form

NOTE: Since disciplinary action is attached to an end-of-cycle rating of Unsatisfactory, the rating is grievable.

You should check the protocol in your unit before conducting the evaluation meeting since the Appointing Authority needs to approve a rating of unsatisfactory and the subsequent denial of an increment.

Performance Planning & Evaluation Form – Page 4

END-OF-CYCLE - UNSATISFACTORY

End Cycle Rating:		
Outstanding	Satisfactory	Unsatisfactory
3.00 - 2.75	2.74 - 1.75	1.74 - 1.00

Tasks to be Achieved Before the Next Mid-Cycle Rating:

Training Recommendations:

Supervisor's Comments:

Signature Line:

Special Appointment; Management Service; Executive Special Appointment position in which I serve at the pleasure of the

Date:

personnel action shall be taken or refused as a reprimand against an employee who refuses to sign this evaluation. The supervisor shall note the refusal on the employee's signature line.

Date:

that I understand and adhere to the Governor's Code of Fair Employment Practices, 01.01.2007.16.

Date:

(Revised 5/20/10)

Enter nothing; the system will calculate this and put the number in the Unsatisfactory box.

Since the performance is unsatisfactory these need to be very clear. The details and action plan should be on the Performance Improvement Plan.

Enter any comments that you think are appropriate to indicate your commitment to helping this employee be successful. You could comment on the consequences of an unsatisfactory end-of-cycle performance rating.

Give the employee the opportunity to comment.

Have the employee sign and date the document. If the employee refuses to sign, note the refusal on the employee's signature line.

Sign and date the document. Your signature acknowledges that you understand and adhere to the Governor's Code of Fair Employment Practices.

Have the Appointing Authority in your unit sign and date the document.

Remember, check the protocol for signatures in your unit before having the employee sign the PEP. The Appointing Authority must approve the PEP and any denial of increment before presenting it to the employee.

Performance Improvement Plan

END-OF-CYCLE UNSATISFACTORY PERFORMANCE

**State of Maryland Performance Planning and Evaluation Program
Performance Improvement Plan**

Employee Name:	Supervisor:
Social Security Number:	Department/Unit:

I. INTERIM PERFORMANCE REVIEW: Assign an overall performance rating for the employee's performance to date. Briefly summarize overall (positive and negative) performance.

Performance Rating:

II. AREAS OF CONCERN: What specific job functions, standards, and/or goals are not being met or may not be met at the end of the performance period? What specific behaviors or conduct need to change for performance to improve?

III. ACTION PLAN: How will those areas of concern be addressed? Detail the plans to improve performance (change in job function, supervision, coaching, counseling, and/or training).

ACTION REQUIRED	TARGET DATE FOR COMPLETION

EMPLOYEE CERTIFICATION: I hereby certify that I have personally reviewed this report, and understand that my signature does not imply agreement or disagreement.

Employee's Signature (Date)

SUPERVISOR CERTIFICATION: I hereby certify that this report constitutes my best judgment of the performance of this employee, and is based on personal observation and knowledge of his/her work.

Supervisor's Signature (Date)

Date of Performance Improvement Plan Meeting

Reviewer's Signature (Date)

IMPORTANT: Since unsatisfactory performance at end-of-cycle is grievable and could result in progressive discipline and termination, you should be working with your immediate manager and your Personnel Officer to make the best use of this document and to begin, if necessary, the progressive discipline process for unsatisfactory performance.

As with unsatisfactory performance at mid-cycle, this documents the details of an employee's unsatisfactory performance and/or behavior and the specific action planned for the employee to improve performance and/or behavior in 90 days.

If performance has not improved at your 90 day evaluation meeting with the employee, you would need to create a new Performance Improvement Plan to document very specifically what needs to be completed before the 180 evaluation meeting and possible termination if performance is not satisfactory at that time.

PEP Statistical Data Form

END-OF-CYCLE

PEP Statistical Data Form

PEP Statistical Data Collection Form
For Management, Skilled, Professional Service, and
Special Appointment Employees
(Please print or type)

Employee's Name: _____
Last First MI

SSN: _____ Inc. Month: _____ January _____ July
(required) FY 20____

DHMH Agency: _____

Mid Cycle Rating: 3 (outstanding) 2 (satisfactory) 1 (unsatisfactory)

End Cycle Rating: ___ 3 (outstanding) ___ 2 (satisfactory) ___ 1 (unsatisfactory)

Person Completing Form: _____ Date: _____
Please Print Name

Original to Office of Human Resources (do not keep copies of this data)

(This form is for statistical purposes only)

Check the appropriate space to indicate the end-of-cycle rating.

Send this form and the original signed End-of-Cycle PEP Evaluation Form to the designated Personnel Officer in your unit.

Since this form is for HR Administration purposes only, do not make a copy of the form for yourself or give a copy to the employee. However, you should make a copy of the End-of-Cycle PEP Evaluation Form for yourself and the employee.

Performance Planning and Evaluation Process

Beginning-of-cycle

WHEN: January (increment month is January)
July (increment month is July)
Most of the time this meeting will coincide with the End-of Cycle meeting.

WHAT you need: Position Description (MS22)
PEP Form for new cycle

WHAT:

Before the Meeting

- Review the goals for your unit for the next cycle
- Review Position Description for accuracy
- Update Position Description if appropriate

Planning Meeting

- Discuss the goals for you unit during the next cycle
- Discuss essential job functions
- Discuss performance expectations
- Review how you will monitor performance

Performance Planning and Evaluation Process

BEGINNING-OF-CYCLE

STATE OF MARYLAND
DEPARTMENT OF BUDGET AND MANAGEMENT
OFFICE OF PERSONNEL SERVICES AND BENEFITS
301 West Preston Street
Baltimore, Maryland 21201

POSITION DESCRIPTION

PART II. POSITION FUNCTIONS

ITEMS 1-7 If additional space is required, attach a separate sheet.

1. MAIN PURPOSE OF THE JOB: Briefly describe the main purpose of this position and how it related to the mission of the agency.

ESSENTIAL JOB FUNCTIONS AND OTHER ASSIGNED DUTIES - List duty and responsibility statements that identify the essential job functions and other assigned duties. Essential job functions are the fundamental job duties of a position that if not performed will alter the job. (Identify essential job functions by highlighting, underlining, etc.)

% of Time and/or Weight of Importance	Job Duty
	1. Describes, monitors, and evaluates subordinate employee performance to enable employee's success according to DHMH Performance Planning & Evaluation (PEP) process.

Here is an example of an essential job function for a supervisor that follows the verb/object/purpose/how structure.

Before the Performance Planning meeting you should review the essential job functions in PART II and the accompanying performance standards in PART IV of the Position Description to make sure they reflect the current and anticipated duties and responsibilities for the coming period.

The essential job functions are functions that you, as a supervisor, identify as necessary for this employee to perform to enable the success of your unit and those that you commit to monitoring to enable the success of your employee.

Job functions explain **WHAT** should be done and should consist of one clear sentence that has the following structure:

- **Verb:** action to perform
- **Object:** to whom or to what action is directed
- **Purpose:** why action is performed
- **How:** methods/procedures/guidelines for performing the action

NOTE: If essential job functions are not clearly written it is very difficult to determine what an employee must do to be successful.

Performance Planning and Evaluation Process

BEGINNING-OF-CYCLE

PART IV PERFORMANCE STANDARDS

PERFORMANCE STANDARDS - For each essential job function described in Part II, list the standard(s) necessary for satisfactory performance. If additional space is required, attach a separate sheet.

1. Describes, monitors, and evaluates subordinate employee performance to enable employee's success according to DHMH Performance Planning & Evaluation (PEP) process.

Conducts PEPs at the mid-cycle and end-of-year cycle for 100% of employees under your supervision and files appropriate documentation at end-of-year.

Here is an example of a performance standard for a supervisor that follows the SMART structure.

Each essential job function must have a performance standard as listed on PART IV of the Position Description.

Copy the essential job functions that you listed in Part II and then write a performance standard by which you will evaluate the employees success directly under each of the essential job functions that you list.

Performance standards explain HOW WELL an essential job function should be done for the employee to be successful. They should consist of one clear sentence that is SMART – having the following characteristics.

Specific: behaviors, outputs, results

Measurable: quantity, quality, cost

Attainable: can be achieved

Relevant: to the essential job function

Time bound: related to time

Since the performance standards should be abbreviated and listed on Page 1 of the Performance Planning and Evaluation Form, you need to have this page of the Position Description available when you conduct the mid and end-of-cycle evaluations.

Performance Planning & Evaluation Form – Page 1

BEGINNING-OF-CYCLE

State of Maryland Performance Evaluation For Non-Supervisory Employees		
This evaluation is intended to facilitate communication between supervisors and employees regarding expectations of job performance and to provide a mechanism for the evaluation of actual performance.		
Employee Name: _____	Beginning Date: _____	
Supervisor's Name: _____	Fiscal Year: _____	
Employee Status: _____	Special Appointment Executive Service	Management Service Political Special Appointment
Does the employee's Position Description (PD) accurately reflect the current, and anticipated, duties and responsibilities for the upcoming review period? (If no, modify the PD as required before beginning the review period.)		
<input type="checkbox"/> Yes	<input type="checkbox"/> No - Date Modified: _____	
Ratings:		
3 = Outstanding:	Exceptional performance. Achievements are clearly superior to the level of performance required for the job.	
2 = Satisfactory	Met the required and expected results for the job. Good performance which is expected of a fully experienced or competent employee.	
1 = Unsatisfactory:	Performance is unacceptable and shows no significant progress or improvement. Improvement is critical.	
Performance of Job Duties (rate individual Position-Specific Performance Standards only if Overall Work Quality is Unsatisfactory)		Mid Cycle Rating
1	Overall Work Quality	End Cycle Rating
2		
3		
4		
5		
6		
7		
Number of Position-Specific Performance Elements Rated:		0 0

Click January or July depending on the increment month.

This is the fiscal year in which the performance cycle ends.

This will NOT apply to most employees. However, if an employee has a status of MS, ES, AS, or DA as indicated on the time sheet, place an "X" in the appropriate space.

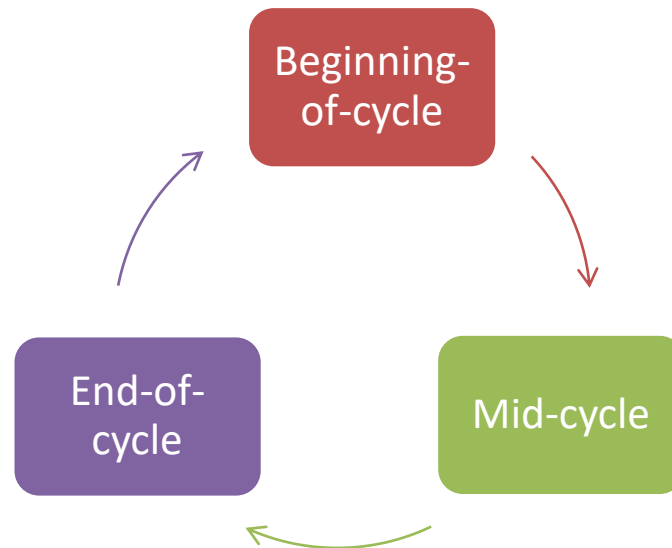
The Position Description (MS22) needs to be reviewed at least once a year at the beginning of the performance cycle to ensure that it is still accurate. If it has been updated, enter the date of the modification.

Enter up to six performance standards for the essential job functions identified in Part IV of the Position Description. You will need to abbreviate what was written on the Position Description since there is only room for 56 characters here.

Performance Planning and Evaluation Process

COMPLETION!!!

Once you conduct the Beginning-of-cycle meeting for those who have just had an End-of-Cycle evaluation, you have completed the Performance Planning and Evaluation Process for the current cycle.





**Discipline Related to
PEP**

Discipline Related to PEP

An appointing authority may discipline an employee for reasons related to the employee's performance including, but not limited to:

- the employee is incompetent or inefficient in the performance of the employee's duty;
- the employee is an individual with a disability who with a reasonable accommodation cannot perform the essential functions of the position;
or
- the employee is not currently qualified for the position.

Discipline Related to PEP

Before Imposing Discipline

The disciplinary procedure for performance-related reasons is outlined in COMAR 17.04.05.03, and closely parallels the provisions of SPP § 11-106. The MOUs also have additional requirements. Before imposing discipline for performance-related reasons, the appointing authority shall:

- (1) Investigate the employee's performance, including the most recent performance appraisal;
- (2) Notify the employee in writing of the deficiency, and provide an explanation of the employer's position. The written notice must include specific instances of unacceptable behavior on which the proposed action is based, the performance standards or behavioral elements involved in each specification of unacceptable performance, and a description of the efforts made by the employer to assist the employee in improving performance;
- (3) Meet with the employee to hear the employee's explanation, unless the employee is unavailable or unwilling to meet; and,
- (4) After determining the appropriate discipline, give the employee written notice of the disciplinary action to be taken, and the employee's appeal rights, and inform the employee of the effective date of the disciplinary action

Discipline Related to PEP

Unsatisfactory Performance Rating

When an employee has been given an overall rating of “unsatisfactory” on an end-of-cycle performance appraisal, the employee has 180-days from issuance of the rating to improve to the level of “satisfactory.” Failure to rate satisfactory at the end of the 180-day period shall result in the employee’s termination from State service.

Discipline Related to PEP

Denial of Pay Increment

In addition, an employee may be denied a pay increase (otherwise known as an “increment”) in any year if: the appointing authority has imposed the denial as a disciplinary action under Title 11, Subtitle 1 of the State Personnel and Pensions Article (SPP); or because of an extension of probation under SPP § 7-403, lack of productivity, or excessive, unexcused absenteeism. An employee may not be denied a pay increase for reasons of performance unless substantial reasons of performance were cited on the employee’s midyear or end-of-cycle performance appraisal forms.

Refer to the controlling MOU, which may require that the employee must be notified in writing when an increment is being denied; this notification must identify specific incidents of unacceptable performance, including reference to the performance standards or behavioral elements, and must provide a description of what the employer will do to assist the employee and what the employee must do to improve the unacceptable performance.

Forms Related to PEP

[Checklist](#) for Completing and Reviewing PEPs

[Probationary Evaluation Form](#)

[Position Description \(MS22\) and Instructions](#)

Smart Solutions

- Address problems before they escalate!
 - No “silver bullet” mentality
 - Progressive discipline if necessary during the cycle
- Keep up with the PEP Process
 - Not easy or pleasant but it is the LAW
 - Keep current and honest

Performance Planning and Evaluation Process

Questions????

Any questions concerning the information in this presentation for Performance Planning and Evaluation Process should be directed to the Human Resources person in your unit.

Please continue to the quiz. Follow the link:
<https://www.surveymonkey.com/r/YRV5Q23>
You will be redirected to a new window.