



Performance Planning and Evaluation Program For Law Enforcement

Directive 5 - 113

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G.O. 8-10

I. PURPOSE

The Performance Appraisal System (PAS) applies to all sworn members of the Agency holding the rank of Police Officer and above as a tool to accomplish the following goals:

1. Employee development
2. Provide guidance to the employee and obtain feedback
3. Inform the employee what is expected
4. Develop training needs.

The PAS is not directly linked to the employee's standing on a promotional eligibility list, but will be used by management to support recommendations or non-recommendations for promotion.

II. POLICY

In order for an employee's performance to be fairly appraised, it is incumbent upon supervisors and commanders to make their expectations clearly known to the employee prior to and during the appraisal period. Many expectations for performance are already stated in agency directives, orders, and other procedural statements. Commanders and supervisors may develop or adjust the definitions of the performance expectations that are unique to their particular unit. These additional performance expectations will be clearly communicated with each employee prior to the rating period and attached to the performance factors and standards defined. Any performance expectations that do not apply to the employee should be noted on the factors and standards list and rated as N/A on the Form 161 (Performance Appraisal Form). Only Sergeants and above will be rated in the Supervisory Factors.

III. PROCEDURES

A. Expectations

1. Supervisors and commanders must recognize that external factors or events, over which the employee has no control, can affect the employee's performance. To the extent possible, foreseeable external factors should be considered when establishing performance expectations. External factors can be placed into one of five categories:
 - (a) Staffing.

- (b) Policies and procedures.
 - (c) Workload.
 - (d) Equipment and supplies.
 - (e) Budget.
- 2 Personnel who work any portion of performance appraisal period will receive ratings from their immediate supervisor under performance factors and standards, based upon work behavior observed during that portion of the appraisal period.
- a) Ratings of “Unsatisfactory” or “Exceeds Expectations” in any factor will be qualified in detail in the 1st Line (Immediate) Supervisor’s Comments section on the Form 161. In most cases, this will require comments being placed on additional sheets of paper.
 - b) “Work” is defined to be the performance of job tasks and duties which require the possession and exercise of full police powers.
 - c) Personnel on extended leave for an entire evaluation period will not receive ratings in performance factors and standards; however, a Form 161 will be completed and processed for such personnel indicating the leave status in the 1st line (immediate) supervisor’s comments section

IV. GUIDELINES

A. Performance Factors & Standards

1. CORE VALUES

- a. Chain of Command
 - 1. Share information with others when appropriate.
 - 2. Acts independently while keeping supervisors informed.
 - 3. Keeps chain of command informed of significant events or hazards within area of responsibility.
- b. Rules and Regulations
 - 1. Performs work according to current policies and procedures.
 - 2. Demonstrates knowledge of Department policies and procedures.
 - 3. Fires weapon(s) in accordance with Department policy.
 - 4. Practices officer survival techniques.
 - 5. Operates Department vehicles in accordance with Department policy.
 - 6. Collects evidence and handles property in accordance with Department policy.
- c. Personal Appearance
 - 1. Maintains personal appearance appropriate to the job.
 - 2. Inspects subordinates and self to ensure they are properly attired and equipped.

3. Inspects and maintains patrol cars, equipment and facilities.
4. Cleans and maintains weapon(s) in accordance with Department policy.

d. Situation Evaluation

1. Exhibits ability to secure and evaluate facts before taking action.
2. Accepts responsibility for consequences of decisions.
3. Evaluates facts in order to make recommendations.

e. Reliability

1. Presence can be relied upon for planning purposes.
2. Is a dependable team member.
3. Keeps commitments.
4. Inspires trust of others.
5. Does not let personal problems inhibit and/or interfere with job performance.

f. Interpersonal Skills

1. Treats people with respect
2. Displays courtesy and sensitivity to citizens and Department employees.
3. Addresses conflicts and problem situations with patience and tact.
4. Conducts corrective interviews with subordinates.
5. Counsels (non-disciplinary) subordinates regarding personal and/or work related problems.
6. Resolves employee conflicts.

g. Social Awareness

1. Manages difficult or emotional situations.
2. Responds promptly to citizens' and/or subordinates' needs.
3. Solicits feedback to improve service.

h. Problem identification & Evaluation

1. Recognizes and identifies problems in a timely manner.
2. Gathers and analyzes information in a logical and objective manner.
3. Develops alternative solutions, identifies and considers consequences of each.
4. Observes, receives, and otherwise obtains information from all relevant sources.

i. Problem Solving

1. Routinely makes sound and timely decisions.
2. Works well in group problem solving situations.
3. Combines, evaluates, and reasons with information and data to make decisions and solve problems.

j. Work Productivity

1. Work results consistently satisfy divisions, detachment, or unit's goal and expectations.
2. Work output consistently meets detachment, divisions or unit's established goals and expectations.
3. Conducts accident scene investigation to determine procedural and assistance requirements.
4. Renders assistance as needed.

k. Organization and Results

1. Work is organized and presented professionally.
2. Work product is thorough and complete.
3. Work product is free of flaws and errors.

l. Oral Communication

1. Speaks clearly and persuasively.
2. Listens and gets clarification.
3. Responds well to questions.
4. Demonstrates group presentation skills.
5. Participates in meetings.
6. Uses appropriate choice of words, voice tone and gestures when communicating information or instructions.
7. Conducts supervisory conferences or discussions with subordinates.
8. Verbally conveys actions or instructions clearly without undue filtering of critical information or instructions.
9. Takes time daily to converse with subordinates and peers to exchange formal and informal information (supervisor/administrator).
10. Speaks to small or large groups, keeping their attention while effectively conveying the Department, detachments, divisions, or unit's message.
11. Verbally praises subordinates in public and disciplines in private (supervisor/administrator).

m. Written Communication

1. Writes clearly and informatively.
2. Edits work for spelling and grammar.
3. Writing style is appropriate to meet needs.
4. Presents numerical data effectively.
5. Possesses good writing skills (can complete standard reports and can articulate his plans and ideas into written format).
6. Approves work, communications, and reports for technical adequacy and accuracy.
7. Praises subordinates in public and disciplines in private with appropriate documentation (supervisor/administrator).

n. Adaptability

1. Willingly accepts a variety of responsibilities.
2. Adapts to new situations in a positive manner.
3. Displays openness to learning and applying new skills.
4. Works well with others to achieve the Department's goals/values.
5. Is resourceful and generally seeks work process improvement through personal initiative.

o. Work Quality

1. Provides thorough and comprehensive details in all aspects of assignments.
2. Effectively completes work in a timely manner.
3. Identifies problem areas effectively and in a timely manner.

4. Monitors and measures work process/product of self and/or subordinates to ensure consistent quality.

2. SUPERVISORY (Rank of Sergeant and above and those working in official acting capacity only)

a. Directing

1. Provides clear direction and purpose.
2. Delegates tasks reasonably considering subordinates' other responsibilities.
3. Provides guidance and direction to subordinates, including setting of performance standards and monitoring of subordinates' work activities.
4. Directs activities at accident, crime, and other incident scenes.

b. Mentoring

1. Demonstrates influencing skills by setting goals.
2. Empowers subordinates to achieve objectives.
3. Acts to motivate, coach and develop subordinates.
4. Assists subordinates in identifying goals and objectives and takes steps to achieve them.
5. Answers job-related questions from subordinates.
6. Interprets policies, directives, and procedures for subordinates.

c. Instructing

1. Explains work assignments to subordinates.
2. Provides a friendly, non-judgmental ear for subordinate's problems and concerns.
3. Provides sound advice, when appropriate.
4. Gives formal and informal training in organizational and interpersonal skills.
5. Shares successes, failures and other life experiences.
6. Provides on-going support and guidance.
7. Encourages subordinates to assess their own strengths and weaknesses. Tactfully points out shortcomings and suggest possible remedies.

d. Information Organization

1. Solicits sufficient information to make a relevant and competent decision.
2. Knows where to seek pertinent information.
3. Develops, prepares, and revises/updates operational plans and procedures.
4. Develops plans to accomplish work, and prioritizes and organizes one's own work.

e. Judgment and Decision Making

1. Makes well reasoned decisions in a timely manner.
2. Clearly articulates decisions in a timely manner.
3. Assists subordinates and others to resolve problems.
4. Accepts responsibility for all decisions.
5. Recommends changes in operational procedures.

f. Ethics

1. Models ethical workplace behavior.
2. Promotes equal opportunity and protects the rights of all.

g. Resource Management

1. Secures resources and audits their effective use.
2. Monitors expenditures and remains within budget guidelines.
3. Celebrates success. Praises efforts of others and focuses on what we have accomplished.

h. Supervision

1. Organizes and distributes work among subordinates.
2. Communicates expectations and performance standards.
3. Monitors, documents and evaluates employee conduct and performance.
4. Provides appropriate and timely feedback.

i. Supportive Environment

1. Portrays enthusiasm in all aspects of work.
2. Shows determination and the will to succeed. Continually looks for solutions and alternatives.
3. Gives things a chance and does not assume failure.
4. Shows support for the mission. Once a decision has been made, accepts it and executes it to the best of his ability.
5. Shows confidence in his subordinates' ability to do the job.

j. Learning Strategies

1. Gives clear guidelines and time requirements.
2. Periodically checks with subordinates to see that tasks are being completed.
3. Gives clear and understandable directions...but not too many.
4. Provides sufficient time and resources.

k. Delegation

1. Gives authority but retains responsibility.
2. Ensures that subordinates take "ownership" of the task.
3. Gives subordinates freedom to make decisions and does not "micro-manage".

l. Critical Thinking and Planning

1. Identifies underlying principals, reasons, or facts by breaking down information into separate parts.
2. Establishes objectives and specifies the strategies and actions to achieve those objectives.
3. Uses logic and analysis to identify strengths and weaknesses.
4. Develops approaches for implementing an idea.

m. Safety

1. Maintains a safe and healthy workplace.
2. Inspects installation and grounds routinely, and examines identification passes to maintain security.

n. Morale

1. Builds a team that reflects high morale, clear focus and group identity.
2. Encourages and builds mutual trust, respect, and cooperation among team members.
3. Develops constructive and cooperative working relationships with others.

b. Opportunities

1. Encourages and provides opportunities for subordinates to obtain and apply new skills and knowledge.
2. Identifies developmental needs of others and coaches or otherwise helps others to improve their knowledge or skills.

3. RATING DEFINITIONS

- A. Expectations of employee performance should be at a level so that “MEETS EXPECTATIONS” is interpreted by supervisor and employee alike as an accomplishment.
- B. Definitions of the four appraisal levels are provided below to assist supervisors in making the proper assessment of employee’s performance:
1. **EXCEEDS EXPECTATIONS** – The employee achieves positive results on a **consistent** basis while his/her performance **significantly surpasses** the Department’s “Core Values” and the detachment, division, section or unit’s goals and expectations.
 2. **MEETS EXPECTATIONS** – The employee demonstrates success and competency in the performance of his/her job and **supports** the Department’s “Core Values” and the detachment, division, section or unit’s goals and expectations.
 3. **NEEDS IMPROVEMENT** – The employee **occasionally falls below** the Department’s “Core Values” and the detachment, division, section or unit’s goals and expectations. Improvement is required.
 4. **UNSATISFACTORY** – The employee **consistently falls below** the Department’s “Coe Values” and the detachment, division, section or unit’s goals and expectations. Improvement is required.

4. OTHER DEFINITIONS

- A. **COACHING** – Is the process whereby a supervisor teaches or trains a subordinate in the skills necessary to become proficient in a specified task.
- B. **PERFORMANCE PLANNING** – is the process where the subordinate and his supervisor agree upon a strategy to assist the subordinate with meeting the expected standards.

5. OBSERVATIONS AND PERFORMANCE DOCUMENTATION

- A. The performance ratings are based on the documentation maintained as job observation material by the first-line supervisor and acknowledged by the employee. Therefore, it is incumbent upon all supervisors to document an employee’s performance by utilizing Form 164, Form 164A (Job Observation Report), Form 17, or any other format. The documentation will promptly be presented to the employee

and the employee's supervisor if they are not the originators. Supervisors are required to maintain documentation for an overall rating of exceeds expectations, needs improvement or any unsatisfactory rating.

- B. When an employee is performing service other than his normal assignment, his temporary supervisor should document positive and negative performance and forward it to his permanent assignment (Mobile Field Force, Color Guard, Training, etc.). If other individuals notice specific performance that they wish to recognize, they are also encouraged to document the performance and forward it to the employee's permanent supervisor.
- C. Generally, employees will be appraised on performance which occurs during on-duty hours. However, if an employee uses an agency vehicle or identifies himself as an agency employee, the resultant performance will be considered by supervisors.
- D. Commanders and second-line supervisors will ensure that first-line supervisors are maintaining job observation material. The commander will review the first-line supervisor's documentation by March 31st and September 30th. The second-line supervisor will review the documentation monthly and during each review and rating process. In instances where it appears that a first-line supervisor has failed to properly monitor and document his employee's performance, the first-line supervisor's rating will be affected.
- E. At the conclusion of the appraisal cycle, the documentation maintained by the first-line supervisor will be submitted to the commander along with the completed Form 161 (Performance Appraisal Form). Commanders are to ensure that the performance ratings given to an employee are supported by the documentation submitted by the first-line supervisor and acknowledged by the employee.

6. EVALUATION PROCEDURE

- A. During the BEGINNING CYCLE, first-line supervisors will photocopy the Performance Factors and Standards from the PAS Handbook for each employee's Job Observation file. The first-line supervisor will review the Performance Factors and Standards (page 2-7 of this handbook) with each employee identifying those that will be appraised. Commanders and supervisors may develop or adjust the definitions of the performance expectations that are unique to their particular unit. These additional performance expectations will be clearly communicated with each employee prior to the rating period and attached to the performance factors and standards defined. Any performance expectations that do not apply to the employee should be noted on the factors and standards list and rated as N/A on the Form 161.
- B. When reviewing the expected performance standards, if you determine that the employee will need coaching in order to meet one or more of the Agency's standards, a performance plan will be developed. This performance plan will be documented in the employee's Job Observation file. First-line supervisors and commanders shall communicate performance expectations to their employees by January 31st and by July 31st for the Performance Cycles, as well as upon an employee's transfer. The

first-line supervisor and employee will sign the Performance Factors and Standards lists as an acknowledgment of the expectations.

- C. There will be a Mid Cycle and End Cycle appraisal given to employees each year. The Mid Cycle appraisal will be completed in July for the period covering from January to June. The End Cycle appraisal will be completed in January and will be based on the entire year's performance to include the Mid Cycle rating. Supervisors will meet with employees monthly during the appraisal periods to discuss their progress and review job observation material. The selection of a rating will be based on the documentation maintained by the first-line supervisor and acknowledged by the employee.
- D. During the MID CYCLE review, first-line supervisors will review the Performance Factors and Standards sheet and assign a rating which best depicts the employee's rating in that area. After ratings have been assigned for the Performance Factors and Standards that are applicable to the employee, the first-line supervisor will complete the Form 161 by following the instructions on the form. It is highly recommended that the first-line supervisor provide a statement to justify any ratings given to their subordinate in the space provided. This includes "Meets Expectations." Regardless of the rating, the supervisor must have the documentation to support that rating.
- E. After the first-line supervisor has completed the ratings portion of the Form 161 and the second-line supervisor has concurred with the ratings given to the employee, the first-line supervisor shall schedule a conference with the employee. The conference should foster an open line of communications and allow for employee feedback. Once the employee has had a chance to review and discuss his appraisal rating, the first-line supervisor shall request that the employee sign the appraisal form. The employee can choose to agree or disagree with the appraisal. If the employee chooses to disagree with the appraisal, he may check the block provided on the Form 161, and specify his reasons for the disagreement in the space provided. If the employee agrees with his first-line supervisor's assessment of his performance, he will check the block provided and sign his name acknowledging review of the appraisal form and rating. The first-line supervisor will forward the completed appraisal to his commander.
- F. The commander will review the employee's Form 161 and the first-line supervisor's documentation for the first six months and either agree or disagree with the supervisor's assessment of the employee's performance. If the employee is not on track to meet or exceed the Agency's performance standards, the commander will ensure that the first-line supervisor and the employee have developed a performance plan. When an employee disputes a rating given to him by his first-line supervisor, the commander will meet with the employee and supervisor in an attempt to mediate the conflict. The commander's decision as to the resolution of the employee's challenge will be noted in the space provided on the appraisal form. If there are no disagreements with the ratings given to the employee and the commander is satisfied with the documentation maintained by the first-line supervisor, he will check the block provided on the Form 161 and sign his name. At the conclusion of the "Mid Cycle Review," the commander will file the appraisal in the effected employee's auxiliary personnel file.

- G. During the END CYCLE review, the same steps will be taken for the completion of the Form 161. First-line supervisors will keep in mind that the End Cycle rating will be based on the entire year's performance to include the Mid Cycle rating. When an employee disputes a rating given to him by his first-line supervisor, the commander will meet with the employee and supervisor in an attempt to mediate the conflict. The commander's decision as to the resolution of the employee's challenge will be noted in the space provided on the appraisal form. The employee may grieve his End Cycle appraisal rating in accordance with the procedures outlined in the MCP Directive 5-110. The commander will forward a roster and copies of the End Cycle Form 161s to Headquarters by February 15.
- H. No copies of the Mid Cycle ratings need to be forwarded, but will be maintained as part of the original appraisal and forwarded to Headquarters along with the End Cycle ratings. The original copies of the appraisal form and the first-line supervisor's documentation will be maintained in the employee's auxiliary personnel file according to the Agency's retention periods. A copy of the appraisal will also be provided to the employee.
- I. There is an area designated for Career Counseling following the individual Factors and Standards. Supervisors will make recommendations to their subordinates regarding such topics as advancement, specialization, or training appropriate for the employee's position. This should be based on the subordinate's career goals and should be attainable.

7. EMPLOYEE TRANSFER/REASSIGNMENT

Immediately prior to any transfer or reassignment during a performance appraisal period, the employee's first-line supervisor will complete an advisory Form 161, present a copy to the employee who is being transferred or reassigned, and forward the original to the employee's commander or first-line supervisor at the new assignment. Under most circumstances, the first-line supervisor will discuss the performance appraisal with the employee prior to the transfer or reassignment. If the employee's first-line supervisor is unable to present the performance appraisal prior to the transfer or reassignment, the first-line supervisor at the new assignment will discuss the performance appraisal with the employee as soon as practical. The employee will also be afforded the opportunity to discuss the performance appraisal with the first-line supervisor at the previous assignment. A Form 161 will be prepared regardless of the number of days worked while assigned to a particular installation, division, or unit during an appraisal period in which a transfer occurs. This advisory Form 161 will be taken into consideration by the first-line supervisor at the new assignment at the Mid Cycle and/or End Cycle of the appraisal period.

8. SUPERVISOR TRANSFER/REASSIGNMENT

- 1. Prior to first-line supervisors being transferred or reassigned, they will complete an advisory Form 161 for the employees they supervised. The first-line supervisor will discuss the performance appraisal with each employee and forward the forms to the commander for review. A copy of the Form 161 will be filed in the employee's auxiliary file.

First-line supervisors will not complete Form 161 when their transfer or reassignment is effective in January or July; however, any outstanding or adverse documentation obtained on an employee will be placed in the employee's auxiliary file.

9. RESTRICTED DUTY/SICK LEAVE

Employees who work any portion of a performance appraisal period, including those employees who are on restricted duty status, will receive a rating based upon the work behavior observed during that portion of the appraisal period. An employee who is on extended leave for an entire appraisal period will not receive an appraisal rating. In this case, the employee's first-line supervisor will complete the Form 161, stating the employee was on extended leave and therefore will not receive an appraisal rating for the year in which he missed work (list year). The performance appraisal will be signed and dated by the employee, supervisors and commander and forwarded to Headquarters with the other appraisals from that unit.

10. SUPERVISOR TRANSFER/REASSIGNMENT

- A. Prior to supervisors being transferred or reassigned, they will complete an advisory Form 161 for the employees they supervised. The supervisor will discuss the performance evaluation with each employee and forward the forms to the commander for review. A copy of the Form 161 will be filed in the employee's auxiliary file.
- B. Supervisors will not complete Form 161 when their transfer or reassignment is effective in January or July; however, any outstanding or adverse documentation obtained on an employee will be placed in the employee's auxiliary personnel file.

11. RESTRICTED DUTY/SICK LEAVE

Employees, who work any portion of a performance appraisal period, including those employees who are on restricted duty status, will receive a rating based upon the work behavior observed during that portion of the evaluation period. An employee who is on extended leave for an entire evaluation period will not receive an evaluation rating. In this case, the employee's supervisor will complete the Form 161, stating the employee was on extended leave and therefore will not receive an evaluation rating for the year in which he/she missed work (list year). The performance evaluation will be signed and dated by the employee, supervisors and commander and forwarded to Headquarters with the other evaluations from that detachment/division/unit.

12. PERFORMANCE IMPROVEMENT PLAN

- A. When reviewing the expected performance standards, supervisors will develop a performance improvement plan when ratings of "Need Improvement" or "Unsatisfactory" are given to their subordinates. This plan will be documented on the State of Maryland performance planning and evaluation program performance improvement plan worksheet and placed in the employees job

observation file.

- B. The formal PEP process is not the only means for addressing performance deficiencies. The performance evaluation process is meant to provide employees with specific times for feedback as to their performance and guidance in improving it, but poor performance should also be addressed as soon as it is noticed, both with feedback and assistance and through appropriate progressive discipline.