

m ***Performance Management Policy for Managerial
and Professional Society of Baltimore Covered
Employees***

The City of Baltimore (“the City”) is committed to encouraging a high performance culture by creating a productive and accountable workforce. The City’s Performance Management Program is a systematic process for improving organizational effectiveness through individual, division and agency accountability. The Performance Management Program instruments are designed to identify competencies, establish Specific, Measurable, Achievable, Results-focused, and Time-bound (SMART) goals, accountabilities, deliverables, and performance objectives that align with each employee’s job responsibilities. They are also designed for initiating ongoing coaching, counseling and feedback, encouraging professional development and recognizing contributions that assist in achieving organizational goals.

I. PURPOSE

This policy communicates and clarifies the City’s goals and expectations for employees and agencies regarding performance management and engages and enables employees to implement an individualized and integrated performance management and development process. This policy is designed to:

- Set forth the City’s expectations for performance management and development;
- Create an objective and quantifiable system for evaluating performance and recognizing accomplishments;
- Identify and communicate individual and division accountabilities and performance objectives;
- Align individual responsibilities and performance objectives to division and agency strategic goals;
- Assist employees, divisions, and agencies with accomplishing strategic goals;
- Inform employees of performance expectations and objectives prior to a performance evaluation;
- Promptly identify and address performance deficiencies through performance assessments, continuous feedback, individualized development plans, and individualized performance improvement plans (PIP);
- Provide feedback to employees and divisions about work expectations and accountabilities;
- Improve individual and division effectiveness through continuous feedback, coaching/counseling, training and assessment;
- Recognize and reward outstanding performance accomplishments; and
- Serve as a human capital planning and communications tool for all job actions.

II. SCOPE

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The Performance Management Program applies to all areas of performance management for eligible Managerial and Professional Society of Baltimore, Inc. (MAPS) employees, both Civil Service and non-Civil Service employees. All performance management tools are confidential; however, performance management tools may be produced during grievances, appeals to the Civil Service Commission or Labor Commissioner, or external litigation.

III. DEFINITIONS

Accountabilities – Areas of job responsibility for which an employee is expected to produce results.

Competencies – Competencies are a set of defined abilities that provide a structured guide enabling the identification, evaluation and development of the behaviors in individual employees

Deliverables – Tangible and specific results and outcomes that an employee is expected to produce and provide by performing required steps, tasks, and actions necessary to fulfill accountabilities.

Eligible Employee – All *regular employees* of the City of Baltimore in both Civil Service and Non Civil Service MAPS represented and non-represented covered classifications.

Performance Objectives – Measurable and evidence based outcomes that the employee is expected to achieve. Supports accountabilities and deliverables, and concisely identifies resource dependencies (including human capital and other resources), as well as what, when, where, and how actions will be executed to fulfill accountabilities and deliverables.

Professional Development – Training that builds skills, expands knowledge or enhances competencies.

SMART goals – Objectives that are **Specific, Measurable, Attainable, Realistic, and Timed (or Tangible).**

Additional definitions are located in the Performance Management System Guidance Document.

IV. RESPONSIBILITIES

A. Department of Human Resources Responsibilities

The Department of Human Resources (DHR) shall provide performance management training to Managers/Supervisors and human resources practitioners as needed to remain in compliance with this policy. DHR will also collect performance data from each City Agency to provide a

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City-wide analysis of employee performance outcomes.

B. Agency Responsibilities

Agencies shall ensure that Managers/Supervisors are aware of Agency strategic goals, and that Managers/Supervisors remain in compliance with this policy. Agency Heads shall be responsible for ensuring each Manager/Supervisor completes performance plans and evaluations.

C. Manager and Supervisor Responsibilities

Managers/Supervisors shall be required to set performance expectations based on the employee’s position description and Agency goals. Managers/Supervisors shall attend mandatory performance management training and ensure that performance management tools are administered in a timely manner, and in compliance with the City’s goals for performance management. Managers/Supervisors shall provide continuous feedback to employees to assist with meeting performance expectations and must keep the contents of all performance management instruments confidential.

D. Employee Responsibilities

Employees shall develop their Performance Plan, in collaboration with their Manager/Supervisor, seek feedback for meeting performance expectations, notify their Manager/Supervisor of obstacles that could prevent them from meeting performance expectations and notify their Manager/Supervisor of their accomplishments. It is also recommended that each employee complete a self-evaluation.

E. Agency Human Resources (HR) Practitioner Responsibilities

The Agency HR Practitioners shall provide guidance and technical assistance on the application of this policy. The Agency HR Practitioner shall also review each evaluation before the evaluation is discussed with the employee to examine the content for appropriateness. The Agency HR Practitioner shall also serve as the point person for any appeal of an evaluation and shall monitor Agency compliance with the policy. Agency HR Departments shall provide annual employee performance data to DHR for City wide analysis of employee performance outcomes. Employee performance data must be provided to DHR by June 30th of each year.

V. PERFORMANCE MANAGEMENT ELIGIBILITY AND PERIOD

The performance management period is based on a July 1st to June 30th fiscal year for all eligible employees. Eligible employees will have 45 days from July 1st to create their initial performance plan, and must have a performance plan drafted annually by July 31st of each fiscal year. This plan should be crafted in conjunction with the employee’s Manager/Supervisor. Each eligible

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employee shall receive a performance plan annually, except for employees who fall into one of the categories below.

- A. **Newly hired employees:** Newly hired employees shall receive a performance plan within 45 days of their commencement date (i.e. date of entry). An evaluation shall be completed at least 15 days **before** the end of the employee’s probationary period, which is generally 180 days. After successfully completing the probationary period, the employee shall receive a new performance plan for the performance management period if their probationary period ends on or before April 30th. The new employee shall only be eligible for consideration of a merit increase if the employee has a minimum of 270 days of continuous service before the end of the evaluation period of June 15th.

EXAMPLE: John Smith commences on September 5, 2015. His probationary performance plan is due no later than October 25, 2015. His probationary period ends March 4, 2016. The evaluation of the probationary performance plan should occur no later than February 19, 2016. In this scenario, John would be considered for a merit increase as his probationary period ended before April 30th of the plan year and he will have had at least 270 days of continuous service before June 15th.

If the newly hired employee’s probationary period ends on or after May 1st, the employee is not eligible for a merit-based increase in the current performance management period but shall receive an annual performance plan for the next performance management period.

*EXAMPLE: John Smith commences on December 1, 2015. His new hire performance plan is due no later than January 15, 2016. His probationary period ends June 1, 2016. In this scenario, John would **NOT** be considered for a merit increase as he would not have worked 270 consecutive days before the end of the evaluation period.*

- B. **Material Change in Job Duties:** An employee must have a new performance plan within 45 days if a permanent material change in job duties, as determined by the Manager/Supervisor, occurs during the performance management cycle. An employee who has a significant change in job responsibilities shall collaborate with their Manager/Supervisor to amend their current performance plan to align with new job duties. An employee who is reclassified, promoted, demoted, or transferred must have their previous performance plan completed by their outgoing supervisor. The employee, in collaboration with their new Manager/Supervisor, must draft a new performance plan corresponding to the start date of when the reclassification, promotion, demotion or transfer became effective.

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C. **Newly promoted employees:** Newly promoted employees must have a minimum of 180 days (6 months) of service in the new position, prior to the conclusion of the performance management period, to be eligible for a merit-based increase.

EXAMPLE: John Smith is promoted and commences work on February 1, 2016. His new performance plan is due no later than March 15, 2016. His probationary period ends August 1, 2016. In this scenario, John would NOT be considered for a merit increase as his probationary period ended after June 15th, the end of the entire performance management period.

D. **Reinstated employees:** An employee reinstated to the same position, in the same agency, will use the previous performance plan. An employee reinstated to a different position must create a new performance plan utilizing their new position description.

VI. PERFORMANCE PLANNING

Performance plans shall set forth an employee’s performance expectations through SMART goals, accountabilities and deliverables, establishing performance objectives, identifying competencies and creating professional development goals for the specific performance management period. Performance Plans must be created by the employee in collaboration with their direct Manager/Supervisor. Each performance plan shall be created using the Position Description and the Guidance Document. Performance plans shall be documented on the Performance Planning and Evaluation Form.

Employees will not be permitted to initiate a grievance or appeal for any part of the employee performance plan.

A. Administration

Performance plans for all MAPS employees are due annually between July 1st and July 31st of each fiscal year. New performance plans are also required within 45 days after a material change in job duties. Performance plans must be signed by the employee and the direct Manager/Supervisor.

B. Change In Supervision

A performance evaluation must address a specific performance management period under the same supervisor.

1. Employee Transfer

If an employee is transferred during a performance management cycle within the same

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agency and in the same position, the current performance plan should be reviewed by the new supervisor and amended as needed. If the transfer is into a new agency and/or position, then the current performance plan terminates on the employee's last date of employment under the outgoing Manager/Supervisor. The outgoing Manager/Supervisor shall complete an evaluation using the current plan. The receiving Manager/Supervisor shall initiate a new performance plan for the employee with an effective date from the employee's first day of employment under the receiving Manager/Supervisor to the end of the performance period. The new plan should be drafted within the first 45 days of the employee being transferred.

2. Change in Manager/Supervisor

If there is a change in supervision due to a Manager's/Supervisor's voluntary separation of employment, but no change in job duties for the employee, the active performance plan shall be reviewed by the new Manager/Supervisor, who may amend the plan as appropriate, with the review period starting from the date of the new supervision till the end of the performance period. If there is a change in supervision due to a Manager's/Supervisor's involuntary separation of employment, the new Manager/Supervisor should review the current plan and may amend as appropriate.

3. No Manager/Supervisor

If no new Manager/Supervisor is identified within 60 days of the departure of the previous Manager/Supervisor, the next level supervisor will be responsible for completing the evaluation for the employee. If a new Manager/Supervisor is identified, the performance plan should be reviewed and the new Manager/Supervisor should complete after consulting with their next level manager.

C. Development and Training

Training is an essential part of the performance management process. Managers/Supervisors are also required to ensure employees complete at least two professional development and/or training activities, either external or internal. This may include courses offered in the City of Baltimore University Training Catalog.

VII. PERFORMANCE MONITORING

Performance monitoring is an ongoing process that assists Managers/Supervisors and employees in achieving performance goals by identifying and addressing performance deficiencies when they occur. Performance monitoring consists of continuous coaching and counseling, a mid-year progress discussion (mandatory for new hires), and may include performance improvement plans.

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A. Mid-Year Progress Discussion

The Mid-Year Progress Discussion is a dialogue between the Manager/Supervisor and the employee. The Mid-Year Progress discussion is mandatory for all new hire employees and suggested for all other employees. The Mid-Year Progress Discussion should generally be conducted in January of the plan year, but should be conducted at least 90 days prior the end of the performance evaluation period of June 15th. Mid-Year Discussions shall be documented, but does not replace the annual performance evaluation. Please refer to the *Performance Management System Guidance Document* on how to document the Mid-Year Progress Discussion.

A mid-year progress discussion for new hire employees must occur 180 days after employment commences. It is the Manager’s/Supervisor’s role to provide feedback to the employee and identify any deficiencies that need to be addressed prior to the end of the review period. It is the employee’s role to provide the Manager/Supervisor with information on accomplishments and/or any obstacles that would keep the employee from achieving performance expectations.

B. Performance Plan Adjustments

Performance plan adjustments shall be made to reflect any changes in employee job duties, key accountabilities, deliverables, and/or performance objectives or if the department or agency objectives have changed.

C. Coaching/Counseling

Managers/Supervisors may initiate coaching/counseling as needed to assist employees with meeting performance objectives. A formal session **must** be documented by creating a short written summary of the session and should be placed in the employee’s personnel file. An informal coaching and counseling session **may** be documented.

D. Mid-Year Performance Improvement Plans (PIPs)

Performance Improvement Plans are designed to assist employees with correcting performance deficiencies through individualized plans. All PIPs must specify the performance deficiency being addressed, the coaching and counseling sessions previously administered, the proposed discipline if performance deficiency continues, and employee’s time period for correcting the performance deficiency.

PIPs can have an improvement period of 30, 60, or 90 days. The Manager/Supervisor is required to conduct an evaluation of the employee’s compliance within 10 days of the end of the PIP. The Manager/Supervisor must document compliance with the PIP. Failure to issue a timely PIP evaluation will result in the employee’s performance being deemed to have met the goals of the

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plan.

A PIP may not be issued within 90 days of the end of the evaluation period.

VIII. PERFORMANCE EVALUATION

Performance evaluations shall encompass the employee’s overall performance during the performance management period. Each performance evaluation shall be created in accordance with the Performance Management and Evaluation instruments.

Performance evaluations are not grievable, but may be appealed as set forth in subsection E, below.

Performance evaluations shall encompass a variety of performance management tools to include performance monitoring, mid-year progress discussions, coaching and counseling, informal and formal feedback, and performance improvement plans when applicable.

A. Administration

Performance evaluations must be conducted annually between May 1st and June 15th of each fiscal year. Performance evaluations are required for all eligible employees. All eligible employees are required to have at least one performance evaluation per fiscal year. Performance evaluations are mandatory at the end of each performance management cycle. Performance evaluations are also required after a permanent material change in job duties such as reclassification, promotion, demotion, transfers, change in job assignment, or lateral moves to another Manager/Supervisor. Performance evaluations shall be signed by the employee and the Manager/Supervisor.

Newly hired employees shall receive a performance evaluation at least 15 days before the end of their probationary period, and annually thereafter. Eligible employees shall receive performance evaluations annually or 90 days after appointment to a new position.

B. Change In Supervision

A performance evaluation must address a specific performance management period under the same Manager/Supervisor. If an employee is transferred during a performance management period, then the Manager/Supervisor must conduct a performance evaluation at least 15 days prior to the employee’s last date of work under them. The performance period shall be shortened to the last date of employment with that Manager/Supervisor. The new Manager/Supervisor shall conduct a performance evaluation from the employee’s first day of employment under the receiving Manager/Supervisor to the end of the performance period.

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If there is a change in supervision due to a Manager/Supervisor's separation of employment, the employee's previous Manager/Supervisor, or designee, shall conduct a performance evaluation for the employee prior to the change in supervision. The new Manager/Supervisor shall then conduct a performance evaluation with a review period starting from the commencement date of the new supervision until the end of the performance period.

Managers/Supervisors shall notify employees of the performance evaluation date at least 30 days before the scheduled evaluation.

C. Employee Self-Evaluation (Optional)

Each employee is encouraged, but not required, to complete and submit a self-evaluation to their Manager/Supervisor, prior to the evaluation due date. The self-evaluation is an essential part of performance management, as it gives the employee an opportunity to assess and evaluate their own achievements in preparation for the performance discussion with the Manager/Supervisor.

D. Performance Recognition

Performance recognition is directly tied to the employee's performance evaluation. Eligible employees with performance rating of Meets Expectations (3); Superior (4); and Distinguished (5), are eligible for recognition which may include: performance based salary increases. There is no guarantee any increase will be granted.

An Agency may propose a base pay increase for employees performing at or above the satisfactory level. Performance based increases shall not cause an employee's base pay to exceed the maximum salary of the employee's current salary range.

All performance based salary increases are discretionary, based upon the availability of funds and the prior approval of the Department of Human Resources and the Department of Finance.

No late submissions will be considered for merit increases.

E. Performance Evaluation Review

Employees may appeal their performance evaluation if they receive an overall performance rating of a 1-Performance Does Not Meet; or a 2-Improvement Needed.

F. Performance Improvement Plan (PIP) at the Conclusion of Evaluation Period

A PIP must be issued when an employee's overall performance falls below a meets expectations rating. Employees shall not be allowed to initiate a grievance or appeal for any performance

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improvement plan.

PIPs can have an improvement period of 30, 60, or 90 days as determined by the Manager/Supervisor. The Manager/Supervisor is required to conduct an evaluation of the employee’s compliance with the PIP, no later than 10 days after the conclusion date of the PIP. The Manager/Supervisor must document compliance with the PIP. Failure to issue a timely PIP evaluation will result in deeming the employee’s performance as meeting the goals of the improvement plan.

G. Issues Eligible for Appeal

1. Any overall section rating or total rating of Performance does not meet standards
2. Any overall section or total rating of Improvement required rating.

Employees should contact their agency Human Resources Practitioner to discuss concerns or to file an appeal.

Employees have the right to use this procedure free from threats or acts of retaliation, interference, coercion, restraint, discrimination, or reprisal. Employees may not be retaliated against for filing an appeal. Allegations of retaliation should promptly be reported to an agency Human Resources practitioner.

A performance evaluation appeal may only be filed for the most recent performance evaluation. Any appeal not filed timely will not be considered. The employee is limited to one appeal for any performance cycle, regardless of the number of issues involved.

Appeal Procedure

1. An employee who disagrees with their annual evaluation and cannot resolve the disagreement with their Manager/Supervisor may take their written appeal to the Human Resources Practitioner of their agency. Such an appeal must be made in writing, and within 10 days of the performance evaluation meeting between the employee and Manager/Supervisor.
2. Upon receiving the written appeal, the HR Practitioner shall provide the appeal to the Agency Head. The Agency Head/Director (or executive-level designee) shall provide the employee and the Manager/Supervisor a written response within 10 days of the HR

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Practitioner’s receipt of the appeal. The written response shall indicate one of the following outcomes:

- The Agency Head/Director agrees with the original performance evaluation;
- The Agency Head/Director disagrees with parts of the performance evaluation and instructs the Manager/Supervisor to revise the original performance evaluation; and
- The Agency Head/Director disagrees with entire performance evaluation and instructs the Manager/Supervisor to complete a new performance evaluation.

The decision by the Agency Chief/Director (or designee) shall be final.

IX. DISCRIMINATION PROHIBITED

The City strictly prohibits retaliation and/or discrimination against an employee for conforming to the Performance Management and Development policy. Violation of this policy may result in disciplinary action, including termination of employment. All employees are required to promptly report concerns of retaliation under this policy to the agency human resources personnel.

X. AUTHORITY

The Department of Human Resources issues this policy pursuant to the authority provided in the City Charter, Articles VI and VII, and the approval of the City’s Board of Estimates.

XI. INTERPRETATION

The Department of Human Resources reserves the right to revise or eliminate this policy at any time, with the approval of the City’s Board of Estimates.

RELATED POLICIES

- AM-200-05 Hiring, Transfers, and Promotions
- AM-204-32 Employee Recognition Program
- AM-231-01 Hiring and Transfers
- AM-235-01 Promotions
- PM-370 Performance Evaluations