

	<b>STANDARD OPERATING PROCEDURE</b> State Form 39870(R/S-06)	Reference Number <b>HMR-014</b>
	Subject Performance Appraisal Reports (PAR) (Police and MCIs)	
	Special Instructions Replaces HMR-014 dated November 23, 2015	Effective Date <b>January 9, 2018</b>

**I. PURPOSE**

Establish uniform procedures for completing job performance appraisals for all police employees and motor carrier inspectors.

**II. POLICY**

The job performance of applicable state police officers (see section III); Capitol Police Section (CPS) Officers (see section IV); and Motor Carrier Inspectors (see section V) shall be appraised annually, in writing, during the calendar year or as otherwise indicated in this procedure.

Performance appraisals shall be based only on job performance during the applicable rating period. Supervisors shall consider disciplinary action taken against an employee during the rating period when evaluating the job performance of an employee.

**III. STATE POLICE OFFICERS**

The job performance of all applicable state police officers shall be appraised annually, in writing, each calendar year utilizing the appropriate report form.

**A. Definitions:**

1. EMPLOYEE – A state police officer (for the purpose of this directive) having the rank of Lieutenant or below who is not evaluated as a part of the Field Training Officer (FTO) Program.
2. IMMEDIATE SUPERVISOR – The direct supervisor of an employee according to the recognized chain of command.
3. INTERMEDIATE SUPERVISOR – The designated superior officer with the rank of Lieutenant or above having at least second level supervision over the employee.
4. COMMANDER – The designated superior officer having supervisory authority over an employee’s intermediate supervisor according to the recognized chain of command.

**B. Report forms for state police officers:**

1. (Standard) Performance Appraisal Report for state police officers assigned to non-supervisory positions with the rank of Lieutenant or below.
2. (Supervisory) Performance Appraisal Report for state police officers assigned to a supervisory position with the rank of Lieutenant or below.

3. PAR (for state police officers with the rank of Captain and Major).

C. Newly appointed employees assigned to the FTO Program shall not be subject to the provisions of HMR-014 until the employee assumes solo-patrol duties. In the event an employee is placed in a remedial FTO Program, the applicability of HMR-014 (section VI C 1) shall be based on individual circumstances as determined by the applicable Zone Commander.

#### **IV. CAPITOL POLICE SECTION (CPS)**

The job performance of all applicable CPS Officers shall be appraised annually, in writing, each calendar year utilizing the appropriate report form.

##### **A. Definitions:**

1. EMPLOYEE – A CPS Officer (for the purpose of this directive) having the rank of Lieutenant or below.
2. IMMEDIATE SUPERVISOR – The direct supervisor of an employee according to the recognized chain of command.
3. INTERMEDIATE SUPERVISOR – The designated superior officer with the rank of Lieutenant or above having at least second level supervision over the employee.
4. COMMANDER – The designated superior officer having supervisory authority over an employee's intermediate supervisor according to the recognized chain of command.

##### **B. Report forms for CPS officers:**

1. (Standard) Performance Appraisal Report for CPS Officers assigned to non-supervisory positions with the rank of Lieutenant or below.
2. (Supervisory) Performance Appraisal Report for CPS Officers assigned to a supervisory position with the rank of Lieutenant or below.
3. PAR (for CPS Officers with the rank of Captain and Major).

#### **V. MOTOR CARRIER INSPECTORS (MCI)**

The job performance of all MCIs shall be appraised annually, in writing, each calendar year utilizing the appropriate report form.

##### **A. Definitions:**

1. EMPLOYEE – All MCIs (for the purpose of this directive) including: District and Zone Coordinators and the MCI Administrator.

2. IMMEDIATE SUPERVISOR – The direct supervisor of an employee according to the recognized chain of command.

3. INTERMEDIATE SUPERVISOR – The designated superior, with the rank of MCI Field Commander or MCI Assistant Field Commander or above, having at least second level supervision over the employee.

4. COMMANDER – The designated superior officer having supervisory authority over an employee’s intermediate supervisor according to the recognized chain of command.

**B. Report forms for MCIs:**

1. (Standard) Performance Appraisal Report for MCIs assigned to non-supervisory positions.

2. (Supervisory) Performance Appraisal Report (Supervisory PAR) for MCIs assigned to a supervisory position with the rank of MCI Administrator and Assistant Administrator or below.

**VI. PERFORMANCE APPRAISAL REPORTING (PAR) SYSTEM PROCEDURES**

A. The following performance appraisal reporting procedures shall apply to all applicable ISP, CPS and MCI employees. All performance appraisals shall be completed on the designated forms according to the following guidelines:

**B. Standard and Supervisor Performance Appraisal Reports**

1. The Standard Performance Appraisal Report will be completed for each employee (who does not have supervisory responsibilities) by their immediate supervisor annually.

2. The Supervisor Performance Appraisal Report will be completed for each employee (who has supervisory responsibilities) by their immediate supervisor annually.

3. The Standard Evaluation Guide or the Supervisor Evaluation Guide, available on Share Point, should be referenced for assistance.

4. The immediate supervisor will select one (1) of three (3) choices for each category.

5. Besides checking the appropriate box next to each category, the immediate supervisor will be required to write a narrative summarizing the evaluation.

6. Any Coaching Sessions conducted during the year shall be referenced as needed.

7. The evaluation will be reviewed with the employee by the immediate supervisor in person.

8. The Standard and Supervisor Performance Appraisal Report and personal evaluation interview shall be completed by February 15 of the following year.

## **D. Coaching Sessions**

1. A Coaching Session will be completed at least once annually for each employee, but may be completed as many times as necessary as determined by the employee's supervisors.
2. The immediate supervisor will conduct the Coaching Session in-person with each employee.
3. The Coaching Session will include, but is not limited to: the reason for the coaching (if for a reason other than the required annual session); a summary of the employee's work effort so far in the year or a summary of the specific reason for the session; any plan of action or tasks that might be required of the employee; a statement by the supervisor of what he/she plans to do to support the employee.
4. The required Coaching Session must occur in person between May 1 and August 31 of each year. Subsequent Coaching Sessions will occur at the discretion of the supervisor.

## **E. Performance Appraisal Report (Completion of)**

1. Each immediate supervisor shall complete the applicable Performance Appraisal Report, for ISP, CPS and MCI employees, at the end of each annual evaluation period for all employees in their command.
2. The immediate supervisor shall use the employee's general work performance as the basis of the evaluation.
3. At the end of each review period, the evaluated employee shall attend a meeting with the immediate supervisor and review the Performance Appraisal Report. Employees may ask questions and/or discuss concerns they may have. During the meeting, the immediate supervisor shall at a minimum:
  - a. Review the Department's goals;
  - b. Review the local Division or District operational needs;
  - c. Review the results of the annual performance appraisal evaluation and discuss any written documentation (including supervisor notes) for the calendar year up to the time of the interview; and
  - d. Discuss the level of performance expected for the next rating/evaluation period.
4. The employee may make written comments in the appropriate area of the evaluation form. The employee after a review, with or without comments, shall sign and date the evaluation.
5. The immediate supervisor, if requested by the employee's Commander, shall forward the Performance Appraisal evaluation to the Commander for review.

6. The employee's Commander shall review any or all of the applicable Performance Appraisal evaluations. After reviewing applicable Performance Appraisal Reports, the Commander may make comments in the appropriate endorsement area. If comments are made, the Commander shall sign and date the evaluation in the appropriate endorsement area, and then review the comments with the applicable immediate supervisor.

**F.** Any command personnel, within the employee's chain of command and above the rank of the employee, may adjust the annual Performance Appraisal Report ratings with justification. If adjusted, the affected employee shall be notified, in writing, of the reason for the adjustment. An adjusted Performance Appraisal Report rating shall be returned to the employee, through channels, for review, signature and date of review.

**G.** After reviewing the Performance Appraisal Report, the affected supervisors may make comments in the appropriate endorsement area. With or without comments, the affected supervisors shall sign and date the Performance Appraisal Report in the appropriate endorsement area.

**H.** The immediate supervisor shall forward the completed Performance Appraisal Report through channels, to the employee's Commander for review by January 31<sup>st</sup>.

**I.** The employee's Commander shall review the Performance Appraisal Report submitted by the immediate supervisor and make written comments, if the Commander desires to do so. With or without comments, the Commander shall sign and date the Performance Appraisal Report and forward it to the Human Resources Division by February 28<sup>th</sup> to be placed into the employee's official personnel file.

**J.** Employees may request copies of completed, Performance Appraisal Reports, including all appropriate comments and signatures.

**K.** Employee counseling may occur at any time during the evaluation period. An employee Counseling Form shall be utilized to document the counseling of an employee. If continued supervisory action does not obtain a Baseline Performance measure from the employee, disciplinary action may be required.

**L.** The completed Performance Appraisal Report shall be maintained in the employee's official personnel file in the Human Resources Division.

**M.** This procedure is to be used in conjunction with all relevant Department regulations, rules, policies and procedures.