

	Performance Planning and Evaluation of Exempt Personnel	Page: 1 of 7
	Issued: March 2007	Revised: 02/14/2014

I. POLICY

The Professional Personnel Employment Handbook explains that an effective performance evaluation process recognizes and rewards excellent performance and addresses areas for improvement. The process should promote dialog between the employee and supervisor, and should provide an opportunity to clarify individual departmental and institutional goals, revise individual job descriptions, emphasize areas of importance and identify new directions, improve individual performance and provide a basis for planning individual growth and development. The Administrator’s immediate supervisor is responsible for providing evaluations for all Full-time Exempt Personnel.

It is the policy of Colorado Mesa University that performance plans and evaluations be completed for all exempt employees at least annually. The Performance Planning and Evaluation Program (PPEP) is managed by the Department of Human Resources. The PPEP is based on the responsibilities of exempt personnel, as defined by the CMU Board of Trustees for exempt Colorado Mesa University employees including the common obligation to provide service of the highest quality while fulfilling the responsibilities of the employee’s position. . The results of the performance evaluations will be utilized in determining employee performance salary adjustments as part of performance pay.

II. AUTHORITY

- CRS 24-50-104.
- Colorado Mesa University Professional Personnel Employment Handbook, Chapter VII

III. PURPOSE

The purpose of these guidelines is to promote excellence at Colorado Mesa University, to implement Colorado Mesa University Performance Planning and Evaluation process, and to better serve the University and community by achieving the University’s mission and vision through a performance planning, evaluation, and pay program.

The components of this program are performance management, performance pay, and dispute resolution. Performance management links the University’s mission, vision, values, and goals to employee objectives, while performance pay provides the means to link an employee’s pay to the level of performance in achieving objectives. The PPEP

creates a partnership between supervisors and employees in defining expectations, planning objectives, and measuring performance results. Further, it gives more flexibility to manage the most valuable resource, employees, to business operations and changing conditions. It also provides incentives to employees for improved performance, by providing awards that are commensurate with the level of contribution.

IV. DEFINITIONS AND GUIDELINES

- A. Appointing authority: For purposes of this policy only, the appointing authority is the vice president for finance and administration, vice president for academic affairs, the vice president for student affairs, or the vice president of community college affairs, as appropriate.
- B. Core competencies: Competency is a measurable pattern of skills, knowledge, abilities, behaviors, and other characteristics that an individual needs to perform work roles or occupational functions successfully.
- C. Dispute resolution: The process used to resolve issues raised by the employee regarding the Performance Planning and Evaluation Program.
- D. Employee: Employee is an Exempt Employee, as defined in the Professional Personnel Employment Handbook, and includes Administrators and Auxiliary Employees who are not covered by the state personnel system
- E. Exempt Employee: Administrators and Auxiliary Employees who are not covered by the State Personnel System.
- F. Individual Performance Objectives (IPOs): Specific objectives used to clarify or specify expected level of performance. IPOs must be reasonable, achievable, measurable, and related to core competencies in an employee's performance plan.
- G. Interim Evaluation: An evaluation completed at any other time other than at the end of the annual performance cycle.
- H. Performance cycle: The performance cycle for Colorado Mesa University is April 1 through March 31.
- I. Performance rating levels:
 - 1. Below Standard: Evidence demonstrates the employee's contributions are below accepted standards in the areas of responsibility. A need for improvement is clearly indicated. When an employee's evaluation results in a level 1 rating, the level of

contribution does not justify any salary increase and may jeopardize continued employment with the University.

2. Proficient: Evidence demonstrates the employee meets minimum expectations and had made modest contributions in the areas of responsibility.
 3. Highly Proficient: Evidence clearly demonstrates that the employee has made significant contributions in the areas of responsibility and is considered highly skilled in that area. An employee achieving a final annual overall rating of “Highly Proficient” may receive a performance salary adjustment, recognizing that the employee has made significant contributions in the areas of responsibility and is considered highly skilled.
 4. Excellent: Evidence convincingly demonstrates that the employee has made exceptional contributions in the areas of responsibility and would clearly be recognized as an outstanding employee as compared to other Exempt Employees. An employee achieving a final annual overall rating of “Excellent” may receive a performance salary adjustment, recognizing that the employee has made exceptional contributions in the areas of responsibility and would clearly be recognized as an outstanding employee as compared to others.
- J. Reviewer: Usually the next level supervisor, manager or director in the chain-of-authority over the employee’s direct supervisor. Any person in the university’s chain-of-authority designated to review supervisory evaluations.
- K. Supervisor: The employee assigned to a position over one or more employees whose responsibility is to do performance planning, reviewing, and evaluating. This employee may be a classified employee, administrative professional employee, auxiliary employee, a faculty member, department head, vice president, or president.

V. PROCEDURES

A. PERFORMANCE PLANNING

1. A performance planning meeting for new exempt employees is desired within 60 calendar days after employment begins. For continuing exempt employees, performance plans for the upcoming evaluation period should take place concurrently with the annual evaluation of the previous year’s performance.
2. When a change of supervision occurs and there is no change of duties for an assigned employee, the former supervisor should close out the

plan or, with agreement of both supervisors, transfer the existing plan to the new supervisor. The new supervisor and the employee shall initial and date the existing plan to signify acknowledgment and understanding. When the existing plan is being transferred to the new supervisor, the former supervisor should provide written documentation on the employee's performance to date.

3. Modifications to the employee's Performance Plan may be necessary during the performance cycle. If so, the modifications must be documented on the Performance Plan or any other written documentation and initialed by the employee and supervisor.
4. A Performance Plan shall be based on the individual performance objectives, responsibilities relating to core competencies, goals and performance expectations for the plan year.
5. The supervisor must retain the original Performance Plan, and must provide a copy of the Performance Plan to the employee. The performance plan and evaluation will be submitted to Human Resources as noted in Section B, below.

B. PERFORMANCE EVALUATION

1. All employees will receive a written evaluation at the end of each performance cycle. The evaluation must be completed, entered, and sent to the Department of Human Resources before April 30. The evaluation compares actual performance and behavior with the objectives and measures in the Performance Plan. Employees must be given the opportunity to provide input on their performance evaluation.
2. Employees will be given a quantitative rating, which will correspond with one of four rating levels: "Below Standard," "Proficient," "Highly Proficient," and "Excellent." The final overall rating must be documented on the Colorado Mesa University Employee Performance Evaluation form. The employee's final overall evaluation category will determine the dollar amount of any performance salary adjustment an employee receives.
3. If an employee moves to a position under another appointing authority during a performance cycle, an interim evaluation shall be completed. The evaluation shall be delivered to the new appointing authority and to the Department of Human Resources within 30 days of the move. The Department of Human Resources will forward the interim evaluation to the proper party.

4. Prior to presenting the evaluation to the employee, the supervisor should provide the evaluation to the reviewer. The reviewer will review recommended overall ratings for adherence to Colorado Mesa University policies and guidelines, distribution of ratings, quality and consistency of rating, to include adequate justification of “Below Standard” and “Excellent” ratings. Overall ratings of “Below Standard” or “Excellent” should also be reviewed by the appointing authority. This quality review process should always occur before ratings are finalized and provided to employees.
5. If the reviewer does not agree with the evaluation, he/she shall consult with the employee’s supervisor to discuss concerns and identify possible modifications. If differences cannot be resolved between the reviewer and employees supervisor, the evaluation shall be discussed with the appointing authority. The appointing authority will make the final decision.
6. Quotas or forced distribution processes for determining the number of ratings, in any of the four performance levels, shall not be established.
7. The final Performance Evaluation will be signed, first, by the supervisor; second, by the reviewer; and lastly, by the employee. Completed performance evaluations will be sent to the Department of Human Resources no later than April 30.
8. If an employee is unable and/or unwilling to sign due to resignation, termination, refusal, etc., the supervisor shall complete the evaluation and indicate in the employee’s signature area that the employee was unavailable and/or unwilling to sign. The supervisor shall date the evaluation, and make distribution. If the employee has separated, a copy shall be mailed to the employee.
9. An employees may attach a statement to his/her evaluation by forwarding the statement to his/her supervisor and Department of Human Resources.
10. If a rating is not given, the overall evaluation shall presume to be “Proficient” until a final rating is completed or determined by outcome of the Dispute Resolution process.

C. DISPUTE RESOLUTION

As outlined in the Professional Personnel Handbook (Section VII-G), exempt personnel who dispute their evaluation may submit written comments to their supervisor within seven (7) calendar days after receiving the evaluation, stating any requested relief. These comments

will be included in the employee's personnel file. If the requested relief is granted, the appeal is complete and final. If the supervisor does not grant the requested relief within the next (7) calendar days after receiving the comments, the supervisor's decision will be final unless the employee submits a written appeal within the next seven (7) calendar days to the appropriate Vice President, stating the basis for appeal, the requested remedy and including a copy of the evaluation and employee's written comments provided to the supervisor. If the Vice President is the employee's immediate supervisor, then the appeal must be submitted to the President. Within fourteen (14) calendar days, the Vice President or the President (whichever is appropriate), shall give notice of his or her decision regarding the disputed evaluation and requested remedy. The decision of the Vice President or President (whichever is appropriate) shall be final, non-appealable and non-grievable.

VI. Performance Salary Adjustments Process

- A. If performance pay is authorized, it is non-base-building merit/performance pay based upon an assessment of performance. The establishment of Colorado Mesa University's performance system honors the following principles and parameters:
 - 1. Annual performance pay is to be based upon specific assessments of the performance of individual employees.
 - 2. Performance pay for employees hired on or before the last working day of December of the performance cycle will be prorated based on hire date. Employees hired on or after January 1 of the performance cycle are not eligible for performance pay in that performance cycle.
 - 3. Performance pay recognizes highly proficient and excellent performance of the employee. It may also, in the discretion of the President, recognize proficient performance.

VII. RESPONSIBILITY

- A. The President is responsible for determining the value of performance pay.
- B. Vice Presidents are responsible for:
 - 1. Ensuring that their respective area complies with all aspects of the PEPP.

2. Ensuring that final performance evaluations are sent to the Department of Human Resources.
 3. Making the final decision, regarding any performance evaluation or management dispute between the employee and supervisor.
 4. Based on funds available, recommend to the President the amount of pay to be awarded to each level of proficient, highly proficient and excellent performance.
- C. The Director of Department of Human Resources is responsible for ensuring:
1. Mandatory supervisor training (including Performance Management and Performance Pay Program) is offered for all supervisory personnel.
 2. New employees are provided with information on the performance pay program during orientation.
 3. The review and update of this policy on an annual basis, or as necessary.
 4. The Department of Human Resources is responsible for administering the Performance Planning and Evaluation Program, developing the lesson plan, providing training, and accounting for all final evaluations received.
- D. The Director of Budget is responsible for ensuring:
1. The Vice Presidents and President are fully advised of funds available for award of performance pay.
- E. Supervisory staff is responsible for the completion of all aspects of the Performance Planning and Evaluation Program within the time frames prescribed for assigned employees.
- F. Employees are responsible for actively participating in the planning, reviewing, and evaluation process. Employees shall provide feedback on specific performance to assist supervisors with evaluations.

VII. ATTACHMENTS

- A. Performance Plan and Evaluation Form