

	Policy: Colorado Mesa University Performance Management Program (CMUPMP) Classified Staff	Page: 1 of 14 plus 8 attachments
	Issued: May 31, 2006	Revised: July 1, 2007

I. POLICY

It is the policy of Colorado Mesa University to have written performance plans and evaluations completed for all classified employees at least annually. The Colorado Mesa University Performance Management Program (MSCPMP) is managed by the Department of Human Resources. The MSCPMP is based on core competencies and performance areas, as defined by the state personnel director for classified employees, and shall be reviewed and discussed with the employee. The results of the performance evaluations will be utilized in determining employee achievement pay as part of performance pay.

II. AUTHORITY

- CRS 24-50-104. Job evaluation and compensation
- Colorado State Personnel Rules, Chapter 6
- Colorado Mesa University Performance Management Program Handbook

III. PURPOSE

The purpose of this policy is to promote excellence at Colorado Mesa University, to implement the Colorado Mesa University Performance Management Plan, to implement an effective performance evaluation process for classified employees, and to better serve the University and community by achieving the University's mission and vision, through achievement pay or other incentive program. The components of this program are performance management, achievement pay/incentive, and dispute resolution. Performance management links the University's mission, vision, values, and goals to employee objectives, while performance pay and incentives provide the means to link an employee's pay to the level of performance in achieving objectives. The MSCPMP creates a partnership between managers 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 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, or Vice President for Academic and Student Affairs, as appropriate.

- B. Base building: An amount of pay that is added to an employee's base pay.
- C. Base pay: A fixed rate of pay. Base pay excludes non-base building awards, shift differential, on-call, overtime, call back, and other types of premium pay. It is synonymous with salary.
- D. Certified employee: A classified employee who has satisfactorily completed a probationary period or trial service period, as defined by State of Colorado Personnel Rules.
- E. Classified employee: Employees of the University who are part of the State Personnel System. This does not include Professional Personnel and other Exempt employees,
- F. 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.
- G. Dispute resolution: The process used to resolve issues raised by the employee regarding the Performance Management Program.
- H. 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.
- I. Interim Performance Review: An evaluation or review completed at any other time other than at the end of the annual performance cycle.
- J. Non-base building pay: An amount of pay that is not added to an employee's base pay, must be re-earned in subsequent years, and may be awarded to employees for satisfactory, commendable, or outstanding performance.
- K. Non-monetary award: A non-cash award that may be given based on performance as a stand alone, or in conjunction with a monetary award.
- L. Achievement Pay: Any amount of pay that may be awarded to recognize an employee's level of performance. Achievement pay may be base and/or non-base building.
- M. Performance cycle: The performance cycle for Colorado Mesa University is April 1 through March 31.
- N. Performance rating levels:
1. Level 1 –Needs Improvement: This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly in need of improvement and consistently fails to meet requirements and expectations. Evidence demonstrates the employee's contributions are below accepted standards in the areas of responsibility. A need for improvement is clearly indicated.

Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meet expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need coaching / direction in order to satisfy the core expectations of the position. A signed copy of the performance evaluation and the performance improvement plan must be accompanied by supporting documentation and shall be reviewed by the Director of Human Resources.

Classified employees will be given a reasonable time to improve, as established in the performance improvement plan. If performance is still in need of improvement at the time of reevaluation, a corrective action will be given. If performance of the classified employee does not improve after the corrective action is given, a disciplinary action shall be taken.

2. Level 2 – Successful: This level encompasses a range of expected performance. It includes employees who are successfully developing in the job, employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These employees are meeting all the expectations, standards, requirements, and objective on their performance plan and, on occasion, exceed them. This is the employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objective that directly support the mission of the University.

A classified employee achieving a final annual overall rating of “Successful” may receive achievement pay, not to exceed range maximum. If base pay is at or above the range maximum, the employee is ineligible for achievement pay.

3. Level 3 – Exceptional: This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employee makes exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the University and may materially advance the mission of the University. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervisor, higher-level management and others can readily recognize such a level of performance.

A classified employee achieving a final annual overall rating of “Exceptional” may receive achievement pay, not to exceed range maximum. Any portion of the adjustment amount that exceeds grade maximum shall be paid as a one-time lump sum in the July payroll.

O. Probationary employee: An employee in the state personnel system who is non-certified and has been appointed to a permanent position from outside the State Personnel System from an open-competitive or reinstatement list, and who must complete a probationary period not to exceed 12 months before achieving certification with a performance rating of at least “Successful.”

P. Rater: The first-level supervisor of the employee, responsible for completing the performance review.

Q. Reviewer: Usually the next level supervisor in the chain-of-authority over the rater of an employee. Any person in the University's chain-of-authority designated to review supervisory evaluations.

R. Salary range: The spread of base salaries in the state compensation system for classified employees between the minimum and maximum rates for a specified class. A salary range is established based on the annual Total Compensation Salary Survey performed, by law, by the state of Colorado. The width of salary ranges may vary by occupational groups.

S. Supervisor: The employee assigned to a position over one or more employees whose responsibility is to do performance planning, reviewing, and evaluating; also known as the rater. This employee may be a classified employee, administrative professional employee, a faculty member, department head, vice president, or president.

T. Trial service employee: An employee who is promoted to a permanent position, and who must complete a period of service that does not exceed six months before achieving certification with a performance rating of at least "Successful."

V. PROCEDURES

A. PERFORMANCE PLANNING

1. Supervisors shall develop a plan for each employee, at the beginning of a new planning cycle, on April 1, or within 30 days of a new hire, transfer to another department, promotion, demotion, or change of duties. If the employee is reallocated, a new plan need not need be completed. A planning session between the supervisor and employee must occur between April 1 and April 30 or within 30 calendar days of a new hire, transfer, or promotion.
2. Absent extraordinary circumstances, a supervisor's failure to plan and evaluate in accordance with the University's established timelines results in ineligibility for achievement pay and potential for imposition of corrective or disciplinary action.
3. When a change of supervision occurs and there is no change of duties for an assigned employee, the former supervisor has the option of closing out the plan or, with agreement of both supervisors, transferring the existing plan to the new supervisor. The new supervisor and the rated employee shall initial and date the existing plan to signify acknowledgment and understanding. An interim Performance Evaluation shall be completed by the former supervisor, signed by employee, and forwarded to the new supervisor, who may use the document as part of the evaluation process.

4. 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.
5. The planning process involves a meeting that shall be conducted by the supervisor, with the employee, in order to discuss expectations, IPOs, and the core competencies. It is intended to be a partnership, but the supervisor has the responsibility for the final decision. If an employee is unwilling to sign the plan, the supervisor will write on the signature line "unwilling to sign," date it, and distribute accordingly. Whether the employee signs or not, he/she will still be evaluated on the Performance Plan, and the original plan will be put in employees' personnel file and a copy given or sent to employee.
7. A Performance Plan shall be based on the core competencies. These competencies cannot be disregarded in the final rating for each employee.
8. The supervisor should make a copy of the original Performance Plan, and then forward the original to the Department of Human Resources for the employee's personnel file. The supervisor must provide a copy of the Performance Plan to the employee.
9. See Attachment A, Colorado Mesa University Performance Plan

B. INTERIM PERFORMANCE REVIEW

1. At a minimum, one documented progress review must be held with each classified employee; however, more frequent meetings are encouraged. The date that meetings take place to discuss an employee's progress must be documented on either the Performance Review, Attachment B or on the Classified Evaluation form. Coaching and feedback during the performance year are required (Personnel Rule 6-4-F).
2. Performance reviews may be completed as needed on a probationary classified employee following the end of the third, sixth, and ninth month of employment, at the discretion of the appointing authority.
3. If the probationary or trial service classified employee is not reviewed at a "Successful," or higher rating level, the supervisor shall advise the employee of such, in writing. The supervisor shall inform him/her of what action(s) is/are required to bring performance to an acceptable level, prior to the next designated performance review or evaluation date. If, at the end of a probationary or trial service period the classified employee is still not rated at a "Successful" or higher rating level, a request not to certify the employee shall be initiated by the rating supervisor, and forwarded for a decision to the appointing authority (the request to not certify must be given to the Department of Human Resources prior to the certification date).

C. 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 shown on the Performance Plan. Employees must be given the opportunity to provide input on their performance evaluation. A self-review worksheet may be helpful. See Attachment D.
2. Employees will be given a qualitative rating, which will be one of three rating levels: "Needs Improvement", "Successful", or "Exceptional." The final overall rating must be documented on Colorado Mesa University Employee Performance Review form. (Attachment E). The employee's final overall evaluation category will determine the dollar amount of achievement award an employee receives. If an employee moves to a position under another appointing authority, work unit, or department during a performance cycle, an interim evaluation shall be completed. (See Attachment C). The evaluation shall be delivered to the new appointing authority and 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, when the employee moves.
3. Reviewers are encouraged to meet with other designated reviewers to ensure consistent completion of evaluations. The reviewer will review recommended overall ratings for adherence to University policies and guidelines, distribution of ratings, quality and consistency of rating, to include adequate justification of "Needs Improvement" and "Exceptional" ratings. This quality review process occurs before ratings are finalized and provided to employees.
4. Quotas or forced distribution processes for determining the number of ratings, in any of the four performance levels, shall not be established.
5. The final Performance Evaluation will be signed by the supervisor, reviewer, and employee. Completed performance evaluations will be sent to the Department of Human Resources no later than April 30.
6. If an immediate supervisor fails to complete an employee's evaluation by April 30, it will be completed by the second level supervisor (reviewer), and on up the chain of authority until completed. Sanctions required by Personnel Rule 6-5 will be imposed. Additionally, in accord with CRS 24-50-104, any supervisor who does not evaluate subordinate classified employees as required shall be suspended from work without pay for a period of not less than one workday. The Department of Human Resources will notify vice presidents and the president of delinquent plans so sanctions may be imposed.

7. Pursuant to Personnel Rule 6-6B, a classified employee who receives an overall performance evaluation of "Needs Improvement" shall be provided with a written formal Performance Improvement Plan (Attachment H) or a Corrective Action (Attachment J) with reasonable time to improve. If performance is still "Needs Improvement" at the time of reevaluation and under a corrective action, disciplinary action may be taken. A Performance Improvement Plan should include the following components: A specific statement outlining the unacceptable performance; specific performance changes (for both the supervisor and employee); expected deadlines for performance changes; dates for follow-up meetings to review progress; and consequences for failure to improve.
8. A supervisor may rate an employee's overall performance by assessing all facets of the employee's performance. For example, an employee may be rated at the "Successful" level in three (3) competencies and "Exceptional" level in two (2) competencies. The overall rating will normally be determined by the majority of competency ratings; however, when considering performance of IPOs and weighing relative importance of competencies, the overall rating could reflect the heaviest weighted competency. For example, a rating including two competencies at the "Successful" level and three competencies at the "Exceptional" level could have an overall rating of "Successful."
9. If the reviewer does not agree with the evaluation, he/she shall consult with the rater to discuss concerns and identify possible modifications. If differences cannot be resolved between the reviewer and rater, the evaluation shall be discussed with the appointing authority. The appointing authority will make the final decision.
10. 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 by certified mail, return receipt requested or hand delivered, with certification of hand-delivery.
11. Employees who wish to attach a statement to their evaluation may do so. Employees are responsible for forwarding the statement to the supervisor/rater and Department of Human Resources.
12. If a rating is not given, the overall evaluation shall be "Successful" until a final rating is completed or determined by outcome of the Dispute Resolution process.
13. If functional supervision is provided by someone other than the administrative supervisor, the administrative supervisor shall request input from the functional supervisor. The administrative supervisor will

consider this information when completing the review and/or evaluation phases of the process.

14. The Employee Performance Log/Important Events Journal, Attachment G, may be used as a tool by the employee to be given to the employee's supervisor or by the supervisor to assist in evaluating the employee.
15. A Performance Improvement Plan, Attachment H, may be utilized by the rater to identify areas needing improvement and to bring such shortcomings to the attention of the rated employee.

D. DISPUTE RESOLUTION: Colorado Mesa University provides a review process that is designed to resolve performance management issues as quickly and efficiently as possible. For classified employees, the President of Colorado Mesa University delegate's final decision-making authority in the internal dispute resolution process to the Director of Human Resources. The MSPMP dispute resolution process is an open, impartial process that is not a grievance or appeal.

1. Disputable Issues: Only the following matters are reviewable:

- a. The individual's Performance Plan or lack of a plan.
- b. The individual's final overall Performance Evaluation or lack thereof.
- c. Application of MSCPMP to the individual's plan and/or final overall performance evaluation.

Final resolution of issues concerning the individual's Performance Plan (or lack of plan), and the individual's performance overall rating, must be resolved at the internal stage. Employees do not have further recourse for resolution of these disputes.

2. Non Disputable Issues:

- a. The content of the MSCPMP.
- b. Matters related to the funds appropriated.
- c. The performance evaluations and awards of other employees.

3. Internal Process

- a. The purpose of this process is to resolve disputes between an employee and the supervisor, as soon as possible, and at the lowest level. It is a problem solving approach. The employee shall discuss the reviewable complaint or concern with the employee's immediate supervisor/rater and attempt to resolve

the problem informally prior to pursuing the formal MSPMP dispute resolution process.

The program will hold an employee and supervisor accountable for their job duties, responsibilities, and actions. If it involves lack of a plan, then the three-day time frame begins when the plan should have been due. If it involves a final overall rating, the time period begins the date the evaluation was presented to the employee. The process is not intended to be legalistic or adversarial.

- b. The process is open and impartial. It is not a grievance or appeal. An employee and supervisor will have the opportunity to be heard and have an issue reviewed objectively.
- c. No party has an absolute right to legal representation, but may have an advisor present at all stages of the dispute resolution process. The role of the advisor is to assist the employee in the process, but the employee is expected to present the employee's issues at each stage.
- d. Retaliation against any person involved in the dispute resolution process is prohibited
- e. Initial Review:
 - 1) The time limit for filing a written request, to initiate the internal review stage, is three working days from the date the plan, or final overall performance rating, is given to the employee. In the event the dispute is not suitably resolved at the informal level the employee may reduce the problem to writing by completing the Request for Initial Review section of the *Request for Review of Performance Management Issues* form, Attachment I. The form must be presented to the administrative head of the employee's work unit, with a copy to the Director of Human Resources, within three (3) working days of the occurrence of the reviewable dispute.
 - 2) The form shall be dated and signed by the employee; it shall set forth the facts, including dates, of the dispute and the remedy desired. Only those issues originally presented in writing shall be considered throughout the dispute resolution process.
 - 3) The dispute shall not be considered submitted until the administrative head of the employee's work unit receives the written request for review. Only issues originally presented, in writing, shall be considered throughout the dispute process. At the time it is received, it shall be dated and a copy returned to the employee.

- 4) The administrative head of the employee's work unit shall schedule a meeting to include the employee's supervisor and the employee. The meeting must occur within five (5) working days of the submission of the written Request for Initial Review. The purpose of the meeting shall be to review and consider the issues presented.
- 5) Within five (5) working days of the meeting the administrative head of the employee's work unit shall respond, in writing, to the employee's dispute.
- 6) In the event the response of the administrative head of the employee's work unit is unacceptable to the complaining employee, the dispute may be referred to the Director of Human Resources under the procedures set forth below, Final Review, of this internal formal dispute resolution stage.

f. Final Review:

- 1) If the employee is not satisfied with the response presented at the Initial Review stage, the employee may refer the dispute to the Director of Human Resources by completing the Request for Final Review by Director of Human Resources section of the *Request for Review of Performance Management Issues* form. The form must be presented to the Director of Human Resources, within three (3) working days of receipt of the response to the employee's Request for Initial Review.
- 2) The complaint shall not be considered submitted until the Director of Human Resources receives the completed form. At the time it is received, it shall be dated and a copy returned to the complaining employee. Any dispute that has not been referred within three (3) calendar days after receipt of the response to the Request for Initial Review shall be considered settled on the basis of the written response and shall not be subject to further review by the Director of Human Resources.
- 3) The Director of Human Resources shall schedule a meeting with the employee and the rater and review in the Initial Review to discuss the issue(s) presented. The meeting shall occur within three (3) working days of receipt of the Request for Final Review.
- 4) Within three (3) working days of the meeting the Director of Human Resources shall complete his investigation and shall answer the employee's dispute in writing. The final decision shall be delivered to the employee and copies forwarded to the supervisor. In answering the employee's dispute the Director is limited to addressing the facts surrounding the

issue, and shall not substitute his judgment for that of the supervisor. The Director of Human Resources may instruct the supervisor to follow the agency Program, reconsider a performance plan or rating, or take other appropriate action. The Director of Human Resources cannot render a decision that would alter the Mesa State Performance Management Program. The decision of the Director on issues involving an individual performance plan or evaluation concludes at the internal stage and no further recourse is available.

- 5) The Director of Human Resources' response must also advise the employee of the issues that are disputable at the External stage of the Dispute Resolution Process. Notice will include deadlines for filing, a list of what must be included in the request, and the address for filing.

4. External Process – Classified Employees

- a. This stage is administered by the director of State Personnel. Only those original issues involving the application of the department's performance pay program to the individual performance plan and/or evaluation may advance to this stage.
- b. Within five working days from the date of Mesa State's final decision, an employee may file a written request for review with the director. External disputes may be mailed to:

Attention: Appeals Processing
1313 Sherman Street, Room 122
Denver, CO 80203

- c. The request for external review shall include a copy of the original issues(s) submitted in writing and the University's final decision. The director or designee shall retain jurisdiction but may select a qualified neutral third party to review the matter. The director or designee shall issue a written decision that is final and binding within 30 days.
- d. The scope of authority of those individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the University's performance pay program. These individuals may also suggest other appropriate processes such as mediation. These individuals shall not substitute their judgment for that of the rater, reviewer, or the department's dispute resolution decision maker if an issue is being reviewed at the external stage. Further, these individuals shall not render a decision that would alter the University's performance management program.

- e. In reaching a final decision, these individuals have the authority to instruct a rater(s) to:
 - 1. Follow the University's performance management program;
 - 2. Correct an error; or
 - 3. Reconsider an individual performance plan or final overall evaluation.

E. ACHIEVEMENT PAY

1. Achievement Pay Process:

- a. The University will make achievement pay in accordance with State Administrative Procedure 3-19.
- b. Achievement Pay will be applied uniformly for all similarly situated classified employees.
- c. By July 15th of each fiscal year the Department of Human Resources will notify employees of the amount of their individual achievement pay. The notification will also advise each employee whether the award is a base building achievement pay, a non-base building lump sum payment, or a combination of base and non-base building.

2. Other Considerations- Classified Employees:

- a) Base building adjustments shall be paid as part of monthly base salary effective July 1, and applied after any salary survey adjustment.
- b) Non-base building pay shall be paid in a lump sum, to all employees, in July (including employees terminating in July)
- c) Employees hired into the system during the performance cycle are eligible to receive the full percentage of base achievement pay on July 1st (based on the overall rating). New employees who are hired on or before the last working day in December of each year and are rated as exceptional will also be eligible for a pro-rated non-base achievement pay.
- d) The employee must be an employee on July 1 to receive payment of an adjustment.
- e) An employee granted achievement pay shall not be denied the adjustment because of a corrective or disciplinary action issued for an incident after the close of the previous performance cycle.

- f) Employees that have moved from another state agency to Colorado Mesa University and have received a final overall evaluation from their previous agency, prior to the payment of the achievement pay, will receive an adjustment under the provisions of Mesa State's performance pay program.
- g) Temporary, contract, Senior Executive Staff (SES) are not eligible for monetary performance pay under this policy, as their performance is recognized in the contract process.
- h) Non-monetary awards may be provided.

VI. RESPONSIBILITY

- A. The President is responsible for determining the amount of achievement pay for classified employees based on the percentage for base and non-base pay specified by the state personnel director. Prior to the payment of achievement pay to classified employees, the President shall specify and publish the percentage for performance levels based on the available statewide performance pay funding.
- B. Vice Presidents are responsible for:
 - 1. Ensuring that their respective area complies with all aspects of the MSCPMP.
 - 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 exempt employee and supervisor.
- C. The director of Department of Human Resources is responsible for ensuring:
 - 1. Mandatory supervisor training (including the Performance Management Program) is offered for all supervisory personnel.
 - 2. New employees are provided with information on the performance management program during orientation.
 - 3. The review and update of this policy on an annual basis, or as necessary.
 - 4. Final decision, regarding the Classified Employees Internal Dispute Resolution process
 - 5. The Department of Human Resources is responsible for administering the Performance Management Program, developing the lesson plan, providing training, and accounting for all final evaluations received.

1. The Director of Budget is responsible for ensuring that a financial audit report will be submitted to the state Department of Personnel, reflecting classified employee monetary percentages awarded for the number of “Exceptional” and “Successful” rated employees.
- C. Supervisory staff is responsible for the completion of all aspects of the Performance Management Program within the time frames prescribed for their assigned employees.
- D. 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 Form
- B. Interim Performance Review
- C. Employee Self-Review Worksheet
- D. Performance Evaluation Form – Classified
- F. Performance Log
- G. Performance Improvement Plan
- H. Request for Formal Review of Performance Management Issues
- I. Corrective Action

Colorado Mesa University
Performance Plan

IDENTIFICATION SECTION	RATING PERIOD:	TO	EMPLOYEE SS#: (mandatory)	
EMPLOYEE'S NAME:				
CLASS/TITLE:		POSITION NO:		
DATE PLAN PRESENTED TO EMPLOYEE:				
EMPLOYEE'S SIGNATURE:				
SUPERVISOR'S NAME:				
SUPERVISOR'S SIGNATURE:				
II. CAPSULE JOB DESCRIPTION (From item II, Page 1 of PDQ for Classified Employees)			Working Title:	
III. PLANNING SECTION: INCLUDE AT LEAST THREE INDIVIDUAL PERFORMANCE OBJECTIVES (IPOS)/TRAINING/CAREER DEVELOPMENT RECOMMENDATIONS, WRITTEN AT A "SUCCESSFUL" LEVEL OF PERFORMANCE.				
**For rating supervisors only: Supervisors will be rated on their Performance Management Program participation; including the degree to which the supervisor supports the program, is open to communication and employee feedback mentoring, coaching, training and support of the MSC mission and objectives; whether performance plans, reviews and evaluations of subordinate staff are completed on time. (See Competency F)				

PLANNING SECTION (CONTINUED): INCLUDE AT LEAST THREE INDIVIDUAL PERFORMANCE OBJECTIVES (IPOS)/TRAINING/CAREER DEVELOPMENT RECOMMENDATIONS, WRITTEN AT A “SUCCESSFUL” LEVEL OF PERFORMANCE.

Empty box for writing performance objectives and recommendations.

Attachment B Interim Performance Review

EMPLOYEE: SS#	SUPERVISOR: (Print) Department:	PERIOD FROM: TO: EMPLOYEE STATUS: PROB <input type="checkbox"/> TS <input type="checkbox"/> CERT <input type="checkbox"/>
COMPETENCY TITLE		
COMPETENCY A: COMMUNICATION		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMPETENCY B: INTERPERSONAL SKILLS		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMPETENCY C: CUSTOMER SERVICE		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMPETENCY D: ACCOUNTABILITY		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMPETENCY E: JOB KNOWLEDGE		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMPETENCY F: PERFORMANCE MANAGEMENT (ONLY APPLIES TO RATING SUPERVISORS)		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OVERALL RATING LEVEL (SELECT ONLY ONE)		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

ATTACH ANY NECESSARY DOCUMENTATION – Include specific Individual Performance Objectives
 Original to Human Resources
 Copies to Supervisor and Employee

Colorado Mesa University
Performance Evaluation Process
Employee Self-Review Worksheet

As an employee, you are encouraged to complete this worksheet. It is designed to help you and your supervisor prepare for your performance evaluation discussion. Give a completed copy of this worksheet to your supervisor at least two days prior to the evaluation discussion and keep a copy for yourself. *Where possible, utilize important events journal to complete this form.* (Attach separate page(s) as necessary.)

Name:			Date:		
Title:			Department:		

1. Do you have any questions about job performance expectations? What areas are unclear to you, if any?

2. List special contributions you feel you have made to your department for the current evaluation period. (These may include activities, awards, and/or recognitions since your last full evaluation.)

3. List any notable obstacles you encountered in accomplishing your job responsibilities during the last evaluation period; particularly obstacles encountered in attempting to reach the goals you and your supervisor had set. (Include your plan for overcoming any obstacles that you may have met.)

4. What performance standards do you want/need to improve in the next year? How do you intend to achieve these goals?

5. Add any additional information that you wish to have considered in your evaluation.

Signature:		Date:	
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Attachment F
Colorado Mesa University
PERFORMANCE EVALUATION - Classified Staff

IDENTIFICATION SECTION	RATING PERIOD: TO	Employee 700 #
REASON FOR EVALUATION:	<input type="checkbox"/> Annual <input type="checkbox"/> Change of Supervisor <input type="checkbox"/> Promotion <input type="checkbox"/> Transfer <input type="checkbox"/> Separated <input type="checkbox"/> Other	
EMPLOYEE'S NAME		
CLASS/TITLE:	Position #	
<p>Level 1 Rating: Needs Improvement –This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly in need of improvement and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meet expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need coaching / direction in order to satisfy the core expectations of the position.</p>		
<p>Level 2 Rating: Successful – This level encompasses a range of expected performance. It includes employees who are successfully developing in the job, employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These employees are meeting all the expectations, standards, requirements, and objective on their performance plan and, on occasion, exceed them. This is the employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objective that directly support the mission of the University.</p>		
<p>Level 3 Rating: Exceptional –This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the University and may materially advance the mission of the University. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.</p>		
II. COMPETENCIES (SELECT WITH AN "X" ONE RATING LEVEL FOR EACH COMPETENCY)		
A. COMMUNICATION:-The degree to which the employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisors and customers so as to anticipate problems and ensure the effectiveness of the department and Colorado Mesa University		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments specific to Competencies Rating:		
B. INTERPERSONAL SKILLS:-The degree to which the employee interacts effectively with others to establish and maintain smooth working relations.		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments specific to Interpersonal Skills Rating:		
C. CUSTOMER SERVICE:-The degree to which the employee works effectively with internal/external customers to satisfy service expectations.		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments specific to Customer Service Rating:		
D ACCOUNTABILITY:-The degree to which an employee's work behaviors demonstrate responsible personal and professional conduct, which contributes to the overall goals and objectives of the department and Colorado Mesa University.		

NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments specific to Accountability Rating:		
E. JOB KNOWLEDGE:-The degree to which the employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments specific to Job Knowledge Rating:		
F. PERFORMANCE MANAGEMENT/Supervision: (Applies to rating supervisor's only - those employees who supervise one or more employees, whether University employee or student) The degree to which employee/supervisor provides supervision, feedback and training for employees; resolves routine personnel issues or problems; utilizes employee's skills and abilities; and provides timely performance plans and evaluations in accordance with established timelines		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments specific to Performance Management Rating:		

OVERALL RATING LEVEL (SELECT ONLY ONE)		
NEEDS IMPROVEMENT	SUCCESSFUL	EXCEPTIONAL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III. OVERALL NARRATIVE JUSTIFICATION: Narrative justification is required for all ratings. Employee strengths and/or areas for development may be addressed in this section. IPO's *MUST* be addressed in this section. Overall NEEDS IMPROVEMENT may result in corrective/disciplinary action. Complete Performance Improvement Plan and/or Corrective Action Form. Please continue on a separate page.

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Please Print or Type Supervisor's Name:

Please Print or Type Reviewer's Name:

IV. SIGNATURE'S

SUPERVISOR:		DATE:	Required within 30 days of end of rating period	
REVIEWER:		DATE:	Must review and date prior to employee's signature	
APPROPRIATE VICE PRESIDENT:		DATE:	Must review and date prior to employee's signature	
APPOINTING AUTHORITY:		DATE:	For Exceptional Ratings: Appointing Authority must sign before employee	
EMPLOYEE:		DATE:	AGREE <input type="checkbox"/>	DISAGREE <input type="checkbox"/>

Attachment F
Employee Performance Log

Employee Name	
Evaluation Period	

Date	Performance Item	Feedback Provided to Employee (Yes/No) If yes, date
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No

COLORADO MESA UNIVERSITY

Performance Improvement Plan

Employee:		700 #:	
Supervisor:		Department:	

(Required for employees who receive an overall rating of Needs Improvement on yearly evaluation, otherwise optional.)

List the Competency (ies) that need improvement and the corresponding plan for improvement:

COMPETENCIES	JOB RESPONSIBILITY	PLAN FOR IMPROVEMENT

Support to be provided by Supervisor (i.e. training, equipment, etc.):

Employee Comments:

I _____ Agree Disagree with the plan above.
 (Employee Signature)

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

Follow-up Review: (to be completed within 60-90 days of annual review date)	
____	Employee has achieved required improvements described above.
____	Employee has not achieved the required improvements described above.
Follow-up Review Signatures:	
Employee: _____	Date: _____
Supervisor: _____	Date: _____

Copies to Employee, Supervisor, and Human Resources.

COLORADO MESA UNIVERSITY

Request for Formal Review of Performance Management Issues – Classified Staff

Has issue been discussed with immediate supervisor? Yes No

Has an attempt been made to resolve the problem? Yes No

Request for Initial Review* (To be delivered to the Administrative Head of the Employee’s Work Unit)

Employee’s name:		SS Number:	
Department:		Date:	
Work Address:		Work Phone:	

Reason for Request:

- My performance plan or lack of a plan. *Attach a brief statement of the facts.*
- My individual performance rating. *Attach a copy of the performance plan, the rating, and a brief statement of the issues and supporting facts.*
- The application/interpretation of the Colorado Mesa University Performance Management Plan, policies or processes to my individual plan and/or evaluation. *Attach a copy of the performance plan and/or rating and a brief statement of the plan, policy or process that was misapplied and supporting facts.*
- Full payment of annual performance award. *Attach a copy of the notice of award, record of payments, and a brief statement of explanation and supporting facts.*

Request for Review by Director of Human Resources*

To resolve this issue, I have taken the following actions:

Reason immediate supervisor's answer was unsatisfactory:

Reason administrative head’s answer was unsatisfactory:

I am requesting the following resolution:

Employee Signature _____

Date _____

External Review

I understand that the action I am disputing must have been raised in the agency's review process. Requests for external review must be filed with the State Personnel Director within five (5) working days from the date of the agency's final decision.

Date of agency's decision on my request for review: _____

Reason for Request:

- Application of the agency's performance management plan, policies or processes to my individual employee plan or evaluation.
- Full payment of a performance award.

Attach a copy of the original review document's, the agency's decision, and a brief statement of explanation and supporting facts. A copy of the request for external review must also be provided to the supervisor and the human resources office.

Employee Signature _____

Date _____

Requests for external review must be filed with Appeals Processing, 1313 Sherman Street, Room 122, Denver, Colorado 80203

CORRECTIVE ACTION – CLASSIFIED EMPLOYEE			
EMPLOYEE:	SUPERVISOR:	DEPARTMENT:	DATE:
Employee SS #:			
DIRECTIONS: This form may be used as a corrective action. Such actions are intended to correct and improve an employee’s job performance or behavior in a formal, systematic manner. In the case of performance evaluation, this form may be used when an employee’s performance is substandard in a competency or overall rating of NEEDS IMPROVEMENT.			
1. THE FOLLOWING AREA(S) NEED(S) CORRECTION:			
2. THE CORRECTIVE ACTION(S) YOU MUST TAKE FOR THE ABOVE AREA(S) IS/ARE AS FOLLOWS:			
3. YOU MUST COMPLETE THE CORRECTIVE ACTION(S) LISTED ABOVE BY THE FOLLOWING DATE(S):			
4. FAILURE TO CORRECT YOUR PERFORMANCE ON OR BEFORE THE DATE SPECIFIED IN NUMBER 3 ABOVE MAY RESULT IN FURTHER CORRECTIVE ACTION AND/OR DISCIPLINARY ACTION.			
5. YOU MAY SUBMIT A WRITTEN EXPLANATION WITHIN 10 DAYS TO THE APPOINTING AUTHORITY. THIS EXPLANATION MUST BE ATTACHED TO, AND KEPT WITH THIS CORRECTIVE ACTION.			
6. Grievance Rights: If you wish to protest this action, you may initiate the grievance process. To do so, you must meet with the undersigned within 10 calendar days from this notice. If you are dissatisfied with the results of that meeting and wish to continue the grievance process, you must put your grievance in writing and send to the Appointing Authority. This individual is _____ . The written grievance must be filed within five working days after your meeting with me. Other provisions of the grievance process, which must be closely followed, are available from the Human Resources Department at 970-248-1266.			
SUPERVISOR SIGNATURE:		EMPLOYEE: I have received a copy of this corrective action on this date.	
_____ Signature	_____ Date	_____ Signature	_____ Date