

	Performance Planning and Evaluation of Exempt Personnel	Page: 1 of 7
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I. BACKGROUND

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.

Per the Handbook performance plans and evaluations are to 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 CMU 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

- Colorado Mesa University Professional Personnel Employment Handbook, Chapter VII

III. PURPOSE

The purpose of these guidelines is to promote excellence at C MU, to implement 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. Core competencies: Competency is a measurable pattern of skills, knowledge, abilities, behaviors, and other characteristics that an individual need to perform work roles or occupational functions successfully.
- B. Dispute resolution: The process used to resolve issues raised by the employee regarding the Performance Planning and Evaluation Program.
- C. 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.
- D. Exempt Employee: Administrators and Auxiliary Employees who are not covered by the State Personnel System.
- E. Individual Performance Goals: Specific goals used to clarify or specify expected level of performance. Goals must be reasonable, achievable, measurable, and related to job responsibilities and the University's Strategic Plan goals in an employee's performance plan.
- F. Interim Evaluation: An evaluation completed at any other time other than at the end of the annual performance cycle.
- G. Performance cycle: The performance cycle for CMU is April 1 through March 31.
- H. Performance rating levels:
1. Exceptional is defined in the Professional Personnel Employment Handbook as: Performance is superior, far above what is required. Employee consistently exceeds the highest standards.

Factors to consider in assigning an Exceptional rating:

 - a) Contributions have tremendous and consistently positive impact and value to the department and or the organization.
 - b) May be unique, often one-time achievements that measurably improve progress towards department goals and the University's Strategic Plan.
 - c) Easily recognized as a top performer compared to peers.
 - d) Viewed as an excellent resource for providing training, guidance, and support to others.
 - e) Demonstrates high-level capabilities and proactively takes on higher levels of responsibility.
 - f) Actively seeks out new assignments and proposes new ideas to improve efficiency and/or customer service, including across organizational units.
 - g) Works outside the boundaries while understanding the importance of ensuring University policies are followed.
 2. Above Expectation is defined in the Professional Personnel Employment Handbook as: Performance is consistently above normal expectations and standards.

Factors to consider in assigning an Above Expectation rating:

- a) Consistently demonstrates high level of performance which may be demonstrated by regularly completing project on time or prior to due date, demonstrate high levels of accuracy in work performed and consistently provide a high-quality performance.
 - b) Consistently works toward overall objectives of the department and the University's Strategic Plan.
 - c) Viewed as a role model in position.
 - d) Demonstrates high levels of effort, effectiveness, and judgment with limited or no supervision.
 - e) Takes an initiative to help others.
 - f) Is creative and innovative with ideas to improve institutional performance and/or decrease cost.
3. Successful is defined in the Professional Personnel Employment Handbook as: Performance is consistent with what is expected and considered acceptable. Understands and demonstrates basic principles, techniques and procedures necessary for efficient job performance.

Factor to consider when assigning a successful rating:

- a) Performance is reflective of a fully qualified and experienced individual in this position.
 - b) Viewed as someone who gets the job done and effectively prioritizes work.
 - c) Contributes to the overall objectives of the department.
 - d) May achieve valuable accomplishments in several areas; however not consistently.
 - e) Is not viewed as going above and beyond.
4. Below Expectation is defined in the Professional Personnel Employment Handbook as: Performance generally below the minimum requirement for the job.

Factor to consider when assigning a Below Expectations rating:

- a) Employee may be working towards gaining proficiency due to being new in the position or being given new responsibilities.
 - b) Demonstrates satisfactory performance at times; however, performance is inconsistent requiring additional training, coaching and/or feedback.
 - c) Achieves some goals; however, is still acquiring necessary knowledge and skills to be efficient in the position.
 - d) Employee may not demonstrate initiative in performing their job responsibilities.
 - e) May be demonstrated by poor attendance.
5. Unsatisfactory is defined in the Professional Personnel Employment Handbook as: Performance does not meet minimum job requirements. Lack of improvement may result in disciplinary action.

Factors to consider when assigning an Unsatisfactory rating:

- a) The quality of performance is inadequate and shows little or no improvement.
- b) Knowledge, skills, and abilities have not been demonstrated at appropriate levels.
- c) Regular performance discussion should have been taking place.

I. Reviewer: Usually the next level supervisor, manager, director or VP 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.

J. 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. INDIVIDUAL PERFORMANCE GOALS

1. Newly hired exempt employees should meet with their direct supervisor within 60 days of their hire date to establish performance goals for the balance of the evaluation plan year.
2. Current exempt employees should develop their performance goals for the upcoming evaluation period concurrently with the annual evaluation of the previous year's performance. Initial goals should be established by April 30 for the upcoming evaluation period.
3. When a change of supervision occurs and there is no change of duties for an assigned employee, the former supervisor should provide written documentation on the employee's performance to date. Such documentation should include input from the employee. A copy of the written documentation should be provided to the employee. Within 60 days of a change of supervision, the new supervisor and the employee should review the identified goals and update as needed.
4. Modifications to the employee's performance goals, may be necessary during the performance cycle. If so, the modifications must be documented and initialed by the employee and supervisor.
5. Performance goals should be based on the individual performance objectives, responsibilities relating to core competencies, goals and performance expectations for the plan year.
6. The supervisor and employee should both retain a copy of the performance goal, as well as any modifications throughout the plan year.

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 goals and core competencies 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 five rating levels: Unsatisfactory, Below Expectation, Successful, Above Expectation and Exceptional. The final overall rating must be assigned and documented on the CMU Employee Performance Evaluation form. The employee's final overall evaluation category will determine the dollar amount of any performance awards an employee may receive.
3. If an employee moves to a position under another manager during a performance cycle, an interim evaluation shall be completed. The evaluation shall be delivered 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 or each manager may complete a separate evaluation for the period in which the employee reported to them.
4. Prior to presenting the evaluation to the employee, the supervisor must provide the evaluation to the reviewer. The reviewer will review recommended overall ratings for adherence to CM U policies and guidelines, distribution of ratings, quality and consistency of rating, to include adequate justification of "Unsatisfactory", "Below Expectation" and "Exceptional" ratings. Overall ratings of "Unsatisfactory" "Below Expectation" or "Exceptional" must also be reviewed by the appropriate Vice President. This quality review process should always occur before ratings are finalized and provided to the employee.
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 employee's supervisor, the evaluation shall be discussed with the appropriate Vice President. The Vice President will make the final decision.
6. Quotas or forced distribution processes for determining the number of ratings, in any of the five 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 must 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 provide the original to Human Resources. If the employee has separated, a copy shall be mailed to the employee.
9. Within seven (7) calendar days from receipt of their performance review, an employee 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 "Successful" 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 considered complete and final. If the supervisor does not grant the requested relief within the next (7) calendar days after receiving the employee's written comments, the supervisor's decision will be final unless the employee submits a written appeal to the appropriate Vice President. Such appeal must be received by the appropriate Vice President no later than seven (7) calendar days from the date in which the employee receives written notification from the supervisor or following seven (7) calendar days from date written comments were received by the supervisor from the employee. The written appeal to the appropriate Vice President, must state the basis for appeal, the requested remedy and include 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 after receiving the written appeal, 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 a performance award is authorized, it is non-base-building merit/performance award based upon an assessment of performance. The establishment of CMU's performance system honors the following principles and parameters:
 - 1. Annual performance award is to be based upon specific assessments of performance as documented in the annual performance evaluation.
 - 2. Any performance award 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.

VII. RESPONSIBILITY

- A. The President is responsible for determining the value of performance awards.
- 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 on a timely basis.
 - 3. Making the final decision, regarding any performance evaluation or management dispute between the employee and supervisor.
- 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 evaluation policy 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 performance awards.

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