UNIVERSITY OF COLORADO SYSTEM

CU Anschutz • Boulder • Colorado Springs • Denver • System Administration

UNIVERSITY OF COLORADO

CLASSIFIED STAFF PERFORMANCE MANAGEMENT PROGRAM

Initially Submitted for Approval on January 31, 2001

Amended February 9, 2001 to reflect Executive Committee Decisions

Amended June 20, 2001 to make technical corrections for consistency with State Personnel *Director's Administrative Procedures* (Effective July 1, 2001)

Amended November 30, 2001 to make technical corrections for consistency with State Personnel *Director's Administrative Procedures* (Effective September 1, 2001)

Amended February 2002 to make further technical corrections for consistency with State Personnel *Director's Administrative Procedures* (Effective September 1, 2001)

Amended February 2005, pursuant to Department of Personnel & Administration Request

Amended March 2007, pursuant to Department of Personnel & Administration, change in Director's Procedure moving from four to three-level rating system.

Amended effective July 2007 to reflect additional Department of Personnel & Administration.

Amended May 2009 to make technical corrections for consistency with the Department of

Personnel &
Administration Rules and to revise Regent Policy making this document the only source of procedures.

Amended June 2023, pursuant to Department of Personnel & Administration moving from a three-rating to a five-rating scale and COWINS Partnership Agreement references.

I. Introduction

II. Performance Management
a. Rating Levels
b. Core Competencies

III. Performance Management Cycle

IV. Performance Program Components
a. Performance Planning & Goal Setting
b. Midyear Progress Review
c. Performance Discussion after completion of 90 days of Probationary Period
d. End-of-Cycle Performance Review

V. Dispute Resolution
a. Basis for Disputes
b. Internal Stage
c. External Stage

VI. Training and Communications

VII. Salary Adjustments

VIII. Performance Management Program Monitoring, Evaluation and Reporting

I. INTRODUCTION

The University of Colorado (CU) *Classified Staff Performance Management Program* (Program) is a system-wide framework submitted on behalf of the entire University system for approval by the State Personnel Director. It also applies to state classified employees who are employed by the University of Colorado Hospital (UCH). CU's program adheres to the uniform and consistent performance management system guidelines established for all state agencies. CU's program shall be revised, as necessary, by CU's Employee Services and Campus HR offices to remain consistent with all requirements of the state's performance management system and the Personnel Board Rules and State Personnel Director's Administrative Procedures.

CU's Program consists of four components: performance management, dispute resolution, training and communication, and compliance and reporting. CU's system of record of performance scores is PeopleSoft HCM.

II. PERFORMANCE MANAGEMENT

CU's Program provides tools and guidance for employees and supervisors to maintain bidirectional communication to encourage employees to perform their best work. The program also provides for consistency, transparency and accountability which aligns performance to the department goals and strategies.

- Planning and aligning expectations between the supervisor and employee
- Identifying resource needs to implement program objectives
- Providing constructive feedback for both improving performance and recognition of good performance

- Documenting performance in a clear, consistent, and meaningful manner

a. Rating Levels

All employees shall be evaluated based on their job performance during the previous evaluation period. The performance evaluations are quantitative, as they correlate to the defined performance rating levels. Supervisors also are encouraged to provide feedback as relevant to SMART goals.

The State Personnel Director and Colorado WINS negotiated a partnership agreement in 2021. In this agreement the State rating system was changed from three (3) to five (5) categories of rating. Beginning April 1, 2022, CU will use the State's new categories, which include:

Level 5: Exceptional
Employees at this level consistently make extraordinary contributions through superior performance on key goals, serve as a role model of organizational values, and contribute significantly to the mission of the Department. Peers, immediate supervisors, higher-level management, and others recognize and depend upon the employee's level of performance. An extraordinary level of achievement and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity, and initiative is exhibited at this level. The employee demonstrates exceptional job mastery in all major areas of responsibility and their contributions to the organization are of marked excellence.

Level 4: Highly Effective
Employees at this level demonstrate highly effective performance by making significant contributions and impact on the goals of the Department. The employee consistently models organizational values to others and performance at this level exceeds the expectations of their position. Colleagues rely on these employees for advice on process or subject matter expertise. All goals, objectives, and targets are consistently achieved above the established standards.

Level 3: Effective
Employees at this level reliably and consistently meet all the expectations, standards, requirements, and objectives of the employee's position. They demonstrate organizational values, along with a willingness and ability to grow for the benefit of the Department. At this level, performance meets expectations in terms of quality of work, efficiency, and timeliness with the most critical goals being met.

Level 2: Needs Improvement
At this level, employee performance and/or behavior do not consistently meet minimum expectations of what is expected of the employee's position. While the employee shows capability and willingness to progress, they may require development in a key skill area(s) to be fully effective in the role. Employee's failure to exhibit marked improvement may result in performance management.

Level 1: Unacceptable
At this level, employee performance and/or behavior do not meet minimum job expectations of the position. The employee does not meet key goals and/or does not demonstrate competence in critical job skills. Immediate and sustained performance improvement is needed. Employee's failure to exhibit immediate marked improvement will result in corrective and/or disciplinary action.

Performance that needs improvement or is otherwise unacceptable as documented in the annual evaluation shall result in a performance improvement plan and/or a corrective action and a reasonable amount of time to improve, unless the employee is already under performance improvement, corrective or disciplinary action for the same performance matter. If needs improvement or unacceptable performance relates to a recurring performance issue that has resulted in a prior corrective action or disciplinary action, the appointing authority may take disciplinary action concurrently with issuing the annual evaluation. The appointing authority may proceed immediately to disciplinary action, up to and including immediate termination, if the act is so flagrant or serious that immediate discipline is proper.

b. Core Competencies

The Evaluations shall incorporate the Statewide Uniform Core Competencies into each individual performance management plan and evaluation. The statewide, uniform core competencies cannot be disregarded in the final overall rating for each employee.

Every employee governed by the state personnel system, commonly referred to as 'classified employees', must be evaluated on the following five core competencies as mandated by the State Personnel Director:

- Communication
- Interpersonal Skills
- Customer Services
- Accountability
- Job Knowledge

Additionally, CU has competency for employees who supervise. The supervision competency contains the required measurement of a supervisor's responsibility in the performance management functions.

III. Performance Management Cycle

The State Personnel Director and Colorado WINS negotiated a partnership agreement in 2021. In this agreement two changes occurred: the number of State rating categories and the performance cycle.

Performance years (2023 forward) will run from:

- August 1 through July 31
- Each campus and system administration will document and communicate all applicable deadlines within the performance year.

IV. Performance Program Components

a. Performance Planning & Goal Setting

A well-crafted performance plan informs employees of the criteria that will be used to evaluate their performance several months into the future. Every employee's performance plan should align with unit goals and objectives comprising the campuses strategic plan. The performance plan provides important clarity to employees on the priorities for their job. The plan also provides a basis upon which the supervisor can direct coaching and development activities toward each employee throughout the evaluation period.

Performance planning requires a meeting between the employee and their supervisor at the beginning of the performance cycle. The planning meeting consists of:

1. A review of the campus's mission and goals.
2. A review and discussion of the work plan for the upcoming year. This work plan typically contains the priorities for the year.
3. A review and discussion of the employee's position description (with updates made as needed).
4. A discussion of the employee's goals and expectations related to CU's competency areas.
5. A review of required and optional training.

If a supervisor fails to provide an employee with a performance plan, the reviewer is responsible for completing the plan. If the reviewer fails to complete the plan in a timely manner, the reviewer's supervisor is responsible for completing the plan and on up the employee's line of supervision until the employee's performance plan is completed.

Sanctions for failure to provide an employee with a performance plan will be imposed, up to and including disciplinary action. Absent extraordinary circumstances, failure by a supervisor to provide a timely plan, results in corrective action and ineligibility for merit pay. If the individual performance plan or evaluation is not completed within thirty (30) days of the corrective action, the designated rater shall be disciplinarily suspended in increments of one (1) workday following the pre-disciplinary meeting.

b. Midyear Progress Review

CU requires a midyear progress review between employees and their supervisor. This meeting must be documented. Coaching and feedback are important objectives of this meeting. The midyear progress review meeting consists of:

1. A review and discussion of the work plan and any modifications resulting from changed business conditions since the plan was initially developed.
2. A preliminary rating and discussion of the employee's performance on the goals and competency areas for the first six months.
3. Agreement on goals and competencies for the remainder of the year.
4. Written comments documenting progress and possible areas for improvement.
5. A review of progress toward training requirements.

Note that if an employee separates from CU during the performance year, the performance plan will be forwarded to the final ratings stages so that an overall rating can be completed.

If an employee moves to a position under another appointing authority or department during a performance cycle, an interim overall evaluation shall be completed and delivered to the new appointing authority or department within 30 days of the effective date of the move.

Supervisors who transfer or leave are required to complete close out evaluations on all their classified employees before leaving. This action will be referenced in the supervisor's own performance evaluation.

If an employee has more than one supervisor during the course of the evaluation cycle, each supervisor must complete a close-out evaluation for the employee. The employee's final overall evaluation score is determined by the supervisor who supervises the employee at the close of the evaluation cycle. That supervisor is responsible for gathering any close out evaluation(s) from past supervisor(s) for that evaluation cycle and determining the employees' final overall evaluation score.

No evaluation is required when an employee retires from employment in the state personnel system.

c. Performance Discussion after completion of 90 days of Probationary Period or Trial Service

For employees hired after November 18, 2021, supervisors are required to conduct a performance discussion after completion of 90 days of the employee's probationary period or trial service. Supervisors should informally document the time, content and date of the conversation. Departments can maintain the documentation in the informal supervisory files.

d. End-of-Cycle Performance Review

The end-of-cycle performance review involves a mandatory meeting between each employee and their supervisor. This meeting consists of a review and discussion of:

- all relevant performance data accumulated throughout the evaluation period
- employee's performance on goals and competency areas
- completion of required and optional training

Note that the supervisor does not provide the employee with a performance rating at the final review meeting since the final rating has not been approved by the reviewer.

<u>Developing a Final Recommended Rating</u>

CUs review process to monitor the quality and consistency of performance ratings within the department, before final overall ratings are provided to employees, is to require that supervisors discuss recommended ratings with the Reviewer prior to finalizing the performance rating.

Following the end-of-cycle performance review meeting (section d. above), the supervisor recommends to the reviewer (second level manager) a final performance rating for the employee based on the supervisor's observations and input from the employee.

The first step a supervisor takes in deriving a final performance rating recommendation is to review the goal and competency ratings and supporting documentation. The supervisor is required to select a final overall rating.

Supervisors are expected to rate the employee's goals and competencies by examining

the employee's performance and behaviors against the standard rating level definitions (11.a) in relation to the employee's job requirements, goals and competency expectations.

Final Rating

Quotas or forced distribution processes for determining the number of ratings employees to receive in any of the five performance levels will not be established or used.

Once an employee's final performance rating is determined by the supervisor and reviewer the supervisor informs the employee of the final performance rating. The supervisor should make a serious effort to keep to a minimum the time between the end-of-cycle performance review meeting and communicating the final performance rating to the employee.

If a supervisor fails to provide an employee with a final performance rating, the reviewer is responsible for completing the rating. If the reviewer fails to complete the performance rating in a timely manner, the reviewer's supervisor is responsible for completing the rating and on up the employee's line of supervision.

In the event an employee does not receive a final performance rating in a timely manner, a default final performance rating of Level 3 (effective) is awarded.

Sanctions for failure to provide an employee with a final performance rating by stated deadlines may be imposed. Absent extraordinary circumstances, failure by a supervisor to provide a timely rating, generally within 90 days of the end of the performance cycle, results in corrective action and ineligibility for merit pay. If the individual performance plan or evaluation is not completed within thirty (30) days of the corrective action, the designated rater shall be disciplinarily suspended in increments of one (1) workday following the pre-disciplinary meeting.

If any evaluations have still not been completed by July 1, the supervisor may be subject to demotion. If a supervisor has not timely completed annual performance evaluations for two consecutive years, the supervisor shall be demoted to a non-supervisory position.

V. Dispute Resolution

CU's dispute resolution process for the performance management program is a separate process from grievances or appeals, reflecting its emphasis on a more flexible, informal approach to resolving disputes related to the performance management program. This process shall be open and impartial and will allow the parties an opportunity to have issues heard. Effort will be made to resolve disputes informally at the lowest level possible.

CUs process adheres to all requirements established by the State Personnel Director, Chapter 8, Part C, including all applicable timelines for filing and completion of the process.

The dispute resolution process for the performance management program has two stages—CU's internal stage and a stage external to CU that is defined and administered by the State Personnel Director. The employee's Appointing Authority (or delegate specified in writing and publicized in advance) is the final decision maker in the internal dispute resolution process. Employees shall be notified of the authorized decision maker for their disputes.

No party has an absolute right to legal representation during the dispute resolution process, but both parties may have an advisor of the respective party's choice present. The parties are expected to represent and speak for themselves.

Retaliation against any person involved in the dispute resolution process is prohibited.

a. Basis for Disputes

An employee may dispute the following issues:

- the individual, final overall performance evaluation, including lack of a final overall evaluation; and,
- the application of a department's performance management program to the individual employee's final overall evaluation.

Decisions reached through the dispute resolution process for CU's performance management program on the first item are final and binding. Only certified employees directly affected as a result of an action by the department may escalate the review process to the State Personnel Director for an external review after CU's internal review process has been completed.

Employees who receive a corrective action as the result of a final performance rating may initiate a grievance in accordance with CUs grievance procedure.

NOT subject to dispute resolution involving CU's performance management program are:

- the content of a department's performance management program;
- matters related to the funds appropriated; and,
- the performance evaluations and merit pay of other employees.

Only issues originally presented in writing at step 1 of CU's internal stage of the dispute shall be considered throughout the dispute resolution process.

b. Internal Stage

Step 1: Informal process

1. The employee initiates a performance management program dispute by creating Step 1 PMP Dispute Resolution (Informal) Form in the online Performance Management system. An email notification will be sent to the second-level supervisor that the employee is challenging a disputable performance management matter. This notification must occur within five (5) working days after they receive the form in the Performance Management system, signed by the Supervisor and second level Supervisor.

2. The employee and second level supervisor attempt to resolve the dispute informally.

3. The second-level supervisor has five (5) working days from when the dispute is initiated to provide the employee with a written decision using the Performance Management system.

4. An employee dissatisfied with the result of the informal dispute resolution process or who fails to receive a written decision within the five (5) working days may advance the dispute to Step 2.

5. If the supervisor is also the Appointing Authority, the employee begins the process at Step 2. Only issues originally presented in Step 1 shall be considered throughout the dispute resolution process.

Step 2: Formal written process

1. If the employee is dissatisfied with the result of the informal resolution process and wishes to advance the dispute to Step 2, the employee creates the Step 2 PMP Dispute Resolution form. This form must be created by the employee within five (5) working days after receiving the written decision from the informal process or

2. if a written decision is not received by the employee, within five (5) working days after the date a written decision was due at Step 1.

3. The Appointing Authority has five (5) working days from when the written dispute is received to render a written decision to the employee using the Performance Management system.

   Neither the disputing employee nor the CU decision-maker has absolute right to legal representation during the dispute resolution process; however, both parties may have a person of their respective choice at the dispute meetings. The disputing employee and CU decision-maker are expected to represent and speak for themselves.

   CU's final written decision regarding the individual final overall performance evaluation, including lack of a final overall evaluation, concludes at the internal stage and no further recourse is available from the Department. For issues disputable at the external stage, the reviewer shall give the employee written notice of the process to advance the dispute to the external stage administered by the State Personnel Director. This notice shall include a statement that the deadline for filing an external performance management dispute to the Director **is** five (5) days from the date of receipt of the notice, the Board's physical address, email address, website, telephone and facsimile numbers, the requirement that the external performance dispute shall be in writing, and the requirement to include copies of the individual's annual performance evaluation, original written dispute and the department's final decision and the availability of the Consolidated Appeal/Dispute Form.

c. External Stage

Employees dissatisfied with the decision resulting from CU's internal dispute resolution process may proceed to the external stage of the dispute resolution process administered by the State Personnel Director if the dispute involves the application of CU's performance management program to the individual employee's final overall evaluation or the individual final performance evaluation, including lack of a final overall evaluation.

The Director's authority regarding final decisions on performance management disputes is limited to reviewing the facts surrounding the current action, within the limits of the department's performance management program.

The employee must initiate the external process by submitting the dispute in writing to the

State Personnel Board within five (5) days from when the employee received the final department decision regarding the internal dispute. The first day of the count is the day after the date on the department's notification and each calendar day thereafter.

- Use of The Consolidated Appeal/Dispute Form: https://spb.colorado.gov/forms-and-filing
- Instructions are provided on this form.

An employee may withdraw a Director's External Dispute at any time prior to the Director issuing a final decision. If an employee withdraws a Director's External Dispute, it will be considered moot and dismissed with prejudice.

In the event that an employee with a pending Director's External Dispute separates from the state personnel system, the Director's External Dispute is dismissed with prejudice.

VI. Training and Communications

a. Performance Management Program Orientation, Training, and Support

Supervisors are required to attend an orientation to and/or training on CU's performance management program. The topics covered in performance management program training have included:

- Overview of CU's performance management program;
- Defining performance levels;
- Performance management cycle;
- CU competency areas;
- Employee performance plans;
- Individual performance objectives and performance measures;
- Unit work plans;
- CUs strategic plan;
- How to use CU's performance management online system;
- Completing CU's performance evaluation form (Performance Management Form)

b. Communications

Performance management program information is disseminated to employees through various communication methods. These methods include:

- Electronic mail to CU supervisors;
- Periodic updates posted on campus email announcements;
- Periodic updates at Executive Management Team meetings whose members then communicate updated information throughout their respective organizations;
- Periodic information meetings conducted throughout the department; and
- Answers from HR personnel to employee questions.

VII. Performance Management Program Monitoring, Evaluation, and Reporting

System Administration will send applicable reporting to the State of Colorado for all CU classified staff based on information in PeopleSoft HCM and collection from campus HR.

Measures to evaluate the quality of CU's performance management program include:

1. Proportion of CU employees participating in a performance planning meeting with their respective supervisor or assigned lead worker by the established due date.

2. Proportion of CU employees receiving a final performance rating by the established due date.

3. Proportion of final performance ratings for each rating level.

4. Number of CU employees submitting a step 2 formal written dispute seeking resolution.

5. Successful uploading of performance ratings into CPPS by the established date.