

<u>ADMINISTRATIVE REGULATION</u>  COLORADO DEPARTMENT OF CORRECTIONS	REGULATION NUMBER 1450-02	PAGE NUMBER 1 OF 12
	CHAPTER: Staff Personnel	
	SUBJECT: Performance Management Program (PMP)	
RELATED STANDARDS: ACA Standards 2-CO-1C-21 and 4-4064 OPR: OHR	EFFECTIVE DATE: July 15, 2005	
	SUPERSESSION: 04/15/05	
	Joe Ortiz Executive Director	

I. POLICY

It is the policy of the Department of Corrections (DOC) to have written performance plans and evaluations completed for all permanent classified employee(s), at least annually. The Performance Management Program (PMP) is managed by the Office of Human Resources (OHR). The PMP shall be based on core competencies and performance areas, as defined by the state personnel director, and shall be reviewed and discussed with the employee. **[2-CO-1C-21][4-4064]** The results of the PMP will be utilized in determining employee performance salary adjustments as part of performance pay. Colorado Personnel Director's Procedures and state Personnel Board Rules shall supersede this administrative regulation.

II. PURPOSE

The purpose of this administrative regulation is to promote excellence in the DOC and to better serve the citizens of this state by achieving the department's mission and vision, through a performance pay program. The components of this program are performance management, performance pay, and dispute resolution. Performance management links the department'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. This program 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.

III. DEFINITIONS

- A. Administrative 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.
- 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.

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- D. Certified Employee: An employee who has satisfactorily completed a probationary period or trial service period.
- E. 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.
- F. Dispute Resolution: The process used to resolve issues raised by the employee regarding the Performance Management Program.
- G. 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.
- H. Interim Evaluation: An evaluation completed at any other time other than March 31.
- I. 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 outstanding performance.
- J. 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.
- K. Performance Based Pay: Any amount of pay that may be awarded to recognize an employee's level of performance. Awards may be base and/or non-base building.
- L. Performance Cycle: The performance cycle for the DOC is April 1 through March 31, which includes provision for the mandatory documented progress review.
- M. 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 unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectation, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.
 2. Level 2 - Satisfactory: This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectation, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

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3. Level 3 - Commendable: This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standard, equipments, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.
 4. Level 4 - Outstanding: 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 organization and may materially advance the mission of the organization. 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.
- N. Probationary Employee: A non-certified employee who 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 “Satisfactory.”
- O. Reviewer: Usually the next level supervisor in the chain-of-command over the rater of an employee. Any person in the organization’s chain of command designated to review supervisory evaluations.
- P. Salary Range: The spread of base salaries between minimum and maximum rates for a specific class. A salary range is established based on the annual Total Compensation Salary Survey. The width of salary ranges may vary by occupational groups.
- Q. Total Compensation Salary Survey: Also known as the “Salary Survey.” An annual process required by law to establish prevailing wages and benefits for employees in the state personnel system. Third-party survey publications are collected and matched with state classes in order to compare the pay and benefit rates between the labor market and the state.
- R. 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 “Satisfactory.”

IV. 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 facility, promotion, demotion, or change of duties. If the employee is reallocated a new plan does not need to be completed. A planning session between the supervisor and employee must occur between April 1 and April 30 or within 30 days of a new hire, transfer, or promotion. Teamwork can be measured as a component of an individual’s performance plan.

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2. Sanctions required by P-6-2 are: Absent of extraordinary circumstances, failure to timely plan and evaluate in accordance with the department's established timelines results in a corrective action and ineligibility for a performance salary adjustment. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the rater must be disciplinarily suspended in increments of one workweek following a pre-disciplinary meeting. The Office of Human Resources will notify directors and the executive director of delinquent plans so sanctions may be imposed.
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 by completing an evaluation 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 (DC Form 1450-2 B) shall be completed by the former supervisor and forwarded to the new supervisor, who may use the document as part of the evaluation process. These guidelines shall be used in a timely manner by all appointing authorities and designated raters, including any person on the state payroll who supervises an employee.
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. Use of Performance Plan and Evaluation forms (DC Forms 1450-02A and 1450-02B) is mandatory for permanent classified employees and shall be considered as a factor in compensation, promotion, demotion, discipline, reduction in force, and all other actions in which quality of service considerations are a factor.
6. 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 competencies listed in Section II of DC Form 1450-2B and must be related to one or more of the competencies. These competencies cannot be disregarded in the final rating for each employee.
8. The original Performance Plan will be forwarded to the Office of Human Resources for the employee's personnel file. A copy is provided to the employee.

B. PERFORMANCE REVIEW

1. At a minimum, one documented progress review must be held with each employee; however, more frequent meetings are strongly encouraged. The date that meetings take place to discuss an employee's progress should be documented on the Performance Review (DC Form 1450-

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02C). Coaching and feedback during the performance year are required (P-6-1)

2. Performance reviews may be completed as need on a probationary employee following the end of the third, sixth, and ninth month of employment, at the discretion of the appointing authority.

If the probationary or trial service employee is not reviewed at a “Satisfactory,” 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 (use of DC Forms 1450-02D or 1450-02E may be appropriate to support the narrative on DC Form 1450-2C). If, at the end of a probationary or trial service period the employee is still not rated at a “Satisfactory” 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 OHR, 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 OHR within 30 days from March 31. The evaluation compares actual performance and behavior with the objectives and measures shown on the Performance Plan. Multi-source assessment processes, where feasible, should be considered for evaluating employees. These can include customer satisfaction surveys, upstream evaluations, and coworker, or peer, assessments. Further, employees must be given the opportunity to provide input on their performance evaluation.
2. Employees will be given a qualitative rating, which will be one of four rating levels: “Needs Improvement,” “Satisfactory,” “Commendable,” or “Outstanding.” The final overall rating must be documented on DC Form 1450-02B. The employee’s final overall evaluation category will determine the dollar amount of a performance salary adjustment 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. The evaluation shall be delivered to the new appointing authority, and OHR, within 30 days. The Office of Human Resources will forward the interim evaluation to the proper party, when the employee moves to another state agency.
3. Reviewers are encouraged to meet with other designated reviewers, in their facility, to ensure consistent completion of evaluations. The reviewer will review recommended overall ratings for adherence to program policies and guidelines, distribution of ratings, quality and consistency of rating, to include adequate justification of “Needs Improvement” and “Outstanding” 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. Overall ratings will be final and the Performance Evaluation (DC Form 1450-02B) will be

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signed by the supervisor, reviewer, and employee. Completed performance evaluations will be sent to OHR, no later than April 30.

6. If an immediate supervisor fails to complete an employee's evaluation within 30 days, it will be completed by the second level supervisor (reviewer), and on up the chain of command until complete. Sanctions required by P-6-2 are: Absent of extraordinary circumstances, failure to timely plan and evaluate in accordance with the department's established timelines results in a corrective action and ineligibility for a performance salary adjustment. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the rater must be disciplinarily suspended in increments of one workweek following pre-disciplinary meeting. Statute provides, in addition, that if any evaluations are not completed by July 1, supervisor may be demoted. If failure to evaluate by July 1 happens for consecutive 2 years, supervisor shall be demoted to a non-supervisory position. The Office of Human Resources will notify directors and the executive director of delinquent evaluations so sanctions may be imposed.
7. Pursuant to Director's Administrative Procedures (P-6-2A), an employee who receives an overall performance evaluation of "Needs Improvement" shall be provided with a written formal Performance Improvement Plan (DC Form 1450-02E) or a Corrective Action (DC Form 1450-2F), 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 "Commendable" level in three (3) competencies and "Satisfactory" level in two competencies. The overall rating will normally be determined by the majority of competency ratings; however, when considering performance of IPOs and weighting relative importance of competencies, the overall rating could reflect the heaviest weighted competency. For example, a rating including two competencies at the "Satisfactory" level and three competencies at the "Commendable" level could have an overall rating of "Satisfactory."
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.

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11. Employees who wish to attach a statement to their evaluation may do so. Employees are responsible for forwarding the statement to the supervisor and OHR.
12. If a rating is not given, the overall evaluation shall be "Satisfactory" until a final rating is completed or determined by outcome of the Dispute Resolution process. If an employee is attending Basic Training in March and have passed all phases, the employee will be rated at the "Satisfactory" level.
13. Original performance documentation forms will be forwarded to OHR and maintained in the employee's permanent personnel record. The supervisor should retain a copy and shall provide a copy to the employee.
14. If functional supervision and/or matrix management 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.
15. The Performance Documentation Form (DC Form 1450-02D) may be used as a tool to be given to the employee's supervisor.
16. A Performance Improvement Plan 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

1. Disputable Issues:
 - 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 the DOC's PMP to the individual's plan and/or final overall performance evaluation.
 - d. Full payment of the salary adjustment. 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 DOC's PMP.
 - b. Matters related to the funds appropriated.
 - c. The performance evaluations and awards of other employees.

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- d. The amount of a performance salary adjustment, unless the issue involves the application of the department's performance pay program.

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 and supervisor should attempt to resolve any dispute, within the five day time frame for initiating the internal review. 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 five 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. An employee and supervisor will have the opportunity to be heard and have an issue reviewed objectively.
- c. The time limit for filing a written request, to initiate the internal review stage, is five working days from the date the plan, or final overall performance rating, is given to the employee. The review and decision must be completed within 20 working days from the date of the action. Timely decisions will be rendered.
- d. Parties to the dispute may have an advisor, but are expected to represent and speak for themselves.
- e. If the employee reports directly to the appointing authority, the dispute will be assigned to the next person in the chain of command for resolution.
- f. Only issues originally presented, in writing, shall be considered throughout the dispute process. Appointing authorities are limited to addressing facts surrounding the current action and shall not substitute their judgment for that of the rater and reviewer; however, appointing authorities may instruct raters and reviewers to follow the department's program, correct errors, and reconsider a performance rating or plan.
- g. A decision must be provided, in writing, fully addressing the concerns of an employee. A description of the DOC dispute resolution process, the "Dispute Resolution" form (DCForm1450-2G), and instructions, will be available to the employee from the supervisor, appointing authority, or OHR.
- h. The appointing authority shall make the final decision concerning a dispute. The final decision shall be delivered to the employee and copies forwarded to the supervisor, and OHR. A decision cannot alter the DOC's Performance Management Program. In accordance with P-8-17(A): Agency's decision on issues involving an individual performance plan or evaluation concludes at the internal stage and no further recourse is available.

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- i. Employees will be given a written decision, by the 20th working day from the initial request for the internal review. The decision will include notice of the right to proceed to the external stage, provided the dispute concerns the content of DOC's PMP, or full payment of award (if relevant). Notice will include deadlines for filing, a list of what must be included in the request, and the address for filing.
- j. Retaliation against any person involved in the dispute resolution process is prohibited.

4. External Process

- 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, or full payment of a performance salary adjustment may advance to this stage.
- b. Within five working days from the date of the department's final decision, an employee may file a written request for review with the director.
- c. The request for external review shall include a copy of the original issues(s) submitted in writing and the department'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 department'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 a department's performance pay program.
- e. In reaching a final decision, these individuals have the authority to instruct a rater(s) to:
 - 1. Follow the department's performance pay program;
 - 2. Correct an error; or
 - 3. Reconsider an individual performance plan or final overall evaluation.

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f. External disputes may be mailed to:

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

E. PERFORMANCE SALARY ADJUSTMENT

Performance Salary Adjustments Process:

In accordance with director's Administrative Procedure P-3-19, salary adjustments must be base building except that, if the final overall rating is at the "Outstanding" level, any portion of the adjustment amount that exceeds grade maximum shall be paid as a one-time lump sum in the July payroll.

Employees who are rated overall "Satisfactory," and above, and are below pay range maximum, may share in performance salary adjustments. Overall "Needs Improvement" performers are not eligible for a performance salary adjustment. At the end of the performance cycle, executive management will specify, annually, the amount of salary adjustment percentages for each performance level (except overall "Needs Improvement"). The value of the salary adjustments, at each level of performance, will be determined after all ratings are complete for the July payout.

Other Considerations:

- § Base building adjustments shall be paid as part of monthly base salary effective July 1, and applied after any salary survey adjustment.
- § Non-base building awards shall be paid in a lump sum, to all employees, in July (including employees terminating in July).
- § Performance salary adjustment amounts for employees hired during the cycle will be prorated based on employment time in DOC, specifically 1/12th the full award for each month of DOC service.
- The employee must be an employee on July 1 to receive payment of an adjustment.
- An employee granted an annual performance salary adjustment 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.
- § Employees that have moved from another department to DOC and have received a final overall evaluation from their previous department, prior to the payment of the performance salary adjustments, will receive an adjustment under the provisions of DOC's performance pay program.
- The employee's current department as of July 1 is responsible for payment of the adjustment.

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§ Temporary, contract, Senior Executive Staff (SES), physicians, and dentists are not eligible for monetary performance pay under this regulation, as their performance is recognized in the contract process.

- In the event of varying percentages, if the DOC decides to use different salary adjustments for employees at the same level, the distinguishing factor must be announced by the executive director prior to the effective date. Source of funds (e.g., cash or general), method of funding (e.g. appropriated or memorandum of understanding), and length of state service shall not be criteria. (P-6-1).

V. RESPONSIBILITIES

- A. The executive director is responsible for determining the percentage of performance salary adjustment within the ranges determined by the state personnel director. Prior to the payment of annual performance salary adjustments, the director shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding. (Director's Administrative Procedures P-3 -18).
- B. Appointing authorities are responsible for:
1. Ensuring that their respective area complies with all aspects of the PMP.
 2. Ensuring data entry is being completed into the PCDCIS shared PMP data base.
 3. Final decision, regarding the internal Dispute Resolution process.
- C. The director of OHR is responsible for ensuring:
1. Mandatory supervisor training (including Performance Management and Performance Pay Program) is offered for all supervisory personnel through CSLP (Colorado Supervisor Leadership Program). Supervisor training is also offered monthly through NIC Staff Supervision Training for Corrections Professional.
 2. New employees are trained on the DOC PMP at Basic Training on their first day of employment.
 3. The review and update of this administrative regulation on an annual basis, or as necessary.
 4. That a financial audit report will be submitted by OHR, reflecting employee monetary percentages awarded for the number of "Outstanding," "Commendable," and "Satisfactory" rated employees.
- D. All supervisory staff are responsible for the completion of all aspects of the Performance Management Program within the time frames prescribed for their assigned employees.

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- E. The Office of Human Resources is responsible for administering the Performance Management Program, developing the lesson plan, providing training, and accounting for all final evaluations received.
- 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.

VI. AUTHORITY

- A. CRS 24-50-118. Service and performance evaluations - system and use.
- B. Colorado State Personnel Rules
- C. Senate Bill 00211

VII. HISTORY

January 15, 2005
January 1, 2004
January 1, 2003
February 15, 2002
April 15, 2001
April 1, 2001
April 1, 2000
April 1, 1999
February 15, 1999

ATTACHMENTS:

- A. DC Form 1450-02A, Performance Plan Form
- B. DC Form 1450-02B, Performance Evaluation Form
- C. DC Form 1450-02C, Performance Review Form
- D. DC Form 1450-02D, Performance Documentation Form
- E. DC Form 1450-02E, Performance Improvement Plan
- F. DC Form 1450-02F, Corrective Action
- G. DC Form 1450-02G, Dispute Resolution Request
- H. DC Form 100-1A, Administrative Regulation Implementation/Adjustments

PERFORMANCE PLAN

IDENTIFICATION SECTION	RATING PERIOD:	TO	EMPLOYEE STATUS	<input type="checkbox"/> PROB	<input type="checkbox"/> TS	<input type="checkbox"/> CERT	EMPLOYEE #: (mandatory)
EMPLOYEE'S NAME:			SSN:				
CLASS TITLE:			POSITION NO:				
AGENCY/FACILITY:			WORK UNIT:				
DATE PLAN PRESENTED TO EMPLOYEE:							
EMPLOYEE'S SIGNATURE:							
SUPERVISOR'S NAME:			POSITION NO:				
SUPERVISOR'S SIGNATURE:							
II. CAPSULE JOB DESCRIPTION (From item II, Page 1 of PDQ)			Working Title:				
III. PLANNING SECTION: INCLUDE AT LEAST THREE INDIVIDUAL PERFORMANCE OBJECTIVES (IPOS)/TRAINING/CAREER DEVELOPMENT RECOMMENDATIONS, WRITTEN AT A "SATISFACTORY" 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 DOC mission and agency objectives; whether performance plans, reviews and evaluations of subordinate staff are completed on time. (See Competency F)							
Note: Disputes arising from the Performance Program must be resolved by submitting complaints to the Appointing Authority. See AR 1450-2							

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

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PERFORMANCE EVALUATION

DC Form 1450-02B (04/15/05)

IDENTIFICATION SECTION		RATING PERIOD: TO	EMPLOYEE STATUS	<input type="checkbox"/> PROB	<input type="checkbox"/> TS	<input type="checkbox"/> CERT	
REASON FOR CLOSEOUT:		Annual	Change of Supv	Promotion	Transfer	Separated	Other
EMPLOYEE'S NAME		SSN:					
CLASS TITLE:		EMPLOYEE # (Mandatory) :					
AGENCY/FACILITY		WORK UNIT:					
<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 unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.</p>							
<p>Level 2 Rating: Satisfactory –This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.</p>							
<p>Level 3 Rating: Commendable –This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standard, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.</p>							
<p>Level 4 Rating: Outstanding –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 organization and may materially advance the mission of the organization. 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)							
<p>A. ACCOUNTABILITY/ORGANIZATIONAL COMMITMENT: Employee's work behaviors demonstrate responsible personal and professional conduct which contributes to the overall goals and objectives of the Department and is in accordance with AR 1450-1, Staff Code of Conduct. This competency should also include appearance: Employees should ensure that the dress and appearance is professional and appropriate for the requirements of the job duties in accordance to AR 1430-31 and consistent with safety, security, and climatic conditions.</p>							
NEEDS IMPROVEMENT	SATISFACTORY	COMMENDABLE	OUTSTANDING				
<p>B. JOB KNOWLEDGE: The employee demonstrates skills in job-specific knowledge by providing the appropriate quantity and quality of work in a timely and efficient manner.</p>							
NEEDS IMPROVEMENT	SATISFACTORY	COMMENDABLE	OUTSTANDING				
<p>C. COMMUNICATION: Effectively and courteously communicates by actively listening and sharing verbally and in writing relevant information with others so as to anticipate problems and ensure the effectiveness of the Department.</p>							
NEEDS IMPROVEMENT	SATISFACTORY	COMMENDABLE	OUTSTANDING				
<p>D. INTERPERSONAL SKILLS: The extent the employee maintains pleasant working relations, demonstrates tact and sensitivity in dealing with others; is responsive to questions and concerns; promotes morale and motivation.</p>							
NEEDS IMPROVEMENT	SATISFACTORY	COMMENDABLE	OUTSTANDING				
<p>E. CUSTOMER SERVICE: Works effectively with internal/external customers/clients to achieve the mission and goals of the DOC.</p>							
NEEDS IMPROVEMENT	SATISFACTORY	COMMENDABLE	OUTSTANDING				
<p>F. PERFORMANCE MANAGEMENT: (Applies to rating supervisor's only) The degree that the supervisor supports the Performance Management Program.</p>							
NEEDS IMPROVEMENT	SATISFACTORY	COMMENDABLE	OUTSTANDING				
OVERALL RATING LEVEL (SELECT ONLY ONE)							
NEEDS IMPROVEMENT	SATISFACTORY	COMMENDABLE	OUTSTANDING				

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. Use DC Form 1450-02E for Performance Improvement Plan and/or DC Form 1450-02F for a Corrective Action. Please continue on a separate page.

(This area is intentionally left blank for narrative justification.)

Supervisor's Name:	Supervisor's Employee Number:
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Please Print or Type Reviewer's Name:	Reviewer's Employee Number:
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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	
APPOINTING AUTHORITY:		DATE:	For Outstanding Ratings: Appointing Authority must sign before employee	
EMPLOYEE:		DATE:	AGREE <input type="checkbox"/>	DISAGREE <input type="checkbox"/>

PERFORMANCE DOCUMENTATION FORM

INSTRUCTIONS FOR COMPLETING FORM: May be used for both good and poor performance. In section 2 below, record the appropriate competency(s) and rating level(s) corresponding to the rating scale (Needs Improvement, Satisfactory, Commendable, Outstanding). Forward to the rating supervisor.

1.

Employee Name (Type or Print)

Employee # (mandatory)

Supervisor Name (Type or Print)

Facility

Department

Agency

Unit

2. Describe Performance:

Relates to: Competency(s)

Rating Level:

3. Sources of Information: (Personal Observation, Documentation, etc.)

Conversation with (Name):

4. Action Taken:

Discussed with Employee
Provided Counseling
Verbally Commended Employee
Other (Explain)

Recommended Disciplinary Action (Attached)
Identified Training Needs
Recommended Corrective Action (Attached)

5. Follow-up Action (if necessary):

Signature

Employee Signature

Date

CORRECTIVE ACTION

EMPLOYEE:	SUPERVISOR:	FACILITY:	DATE:
Employee #:	Social Security Number:		

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 at the second step. 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 _____.

APPOINTING AUTHORITY OR DESIGNEE SIGNATURE: _____ **EMPLOYEE:** I have received a copy of this corrective action on this date.

Signature	Date	Signature	Date
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ADMINISTRATIVE REGULATION
IMPLEMENTATION/ADJUSTMENTS

DC FORM 100-1A (09/94)

CHAPTER	SUBJECT	AR #	EFFECTIVE
Staff Personnel	Performance Management Program (PMP)	1450-02	07/15/05

(FACILITY/WORK UNIT NAME) _____
WILL ACCEPT AND IMPLEMENT THE PROVISIONS OF THE ABOVE ADMINISTRATIVE REGULATION:

AS WRITTEN NOT APPLICABLE WITH THE FOLLOWING ADJUSTMENTS TO MEET
LOCALIZED OPERATIONS/CONDITIONS

(SIGNED) _____ (DATE) _____
Administrative Head