

**DEPARTMENT OF PERSONNEL &
ADMINISTRATION**

PERFORMANCE MATTERS



Department of Personnel & Administration

PERFORMANCE MANAGEMENT PROGRAM

Adopted June 30, 2001

Revised May 2008

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DEPARTMENT OF PERSONNEL & ADMINISTRATION
PERFORMANCE MANAGEMENT PROGRAM – Performance Matters

The DPA performance management program creates a uniform and consistent process that adheres to the system guidelines established for all state agencies. The program is flexible so it can be revised as necessary to remain consistent with all requirements of the state's performance management and to continually improve the program.

I. OVERVIEW OF PLAN

The purpose of this performance management program is to promote excellence in state government by achieving the Department's mission and vision. The components of this program are performance management, achievement pay, and dispute resolution. Performance management links the Department's mission, vision, values, and goals to employee objectives while achievement 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 our most valuable resource – employees - to business operations and changing conditions, while providing incentives to employees for improved performance through salary adjustments commensurate with the level of contribution.

II. PROGRAM INFRASTRUCTURE

Executive management personnel of the Department make all policy decisions concerning this program, within system parameters. Executive management is composed of the Executive Director, Deputy Executive Director, selected Executive Office staff, and Division Directors. The Human Resources Unit (HRU), of the Executive Office, implements and manages the performance management program ensuring compliance with system parameters, rules, and procedures.

Division Directors play a key role in ensuring that the performance management program is successful. Division Directors are the "champions" for the Department and their Divisions. The ultimate success of the performance management program within DPA is based upon each individual Division Director's commitment to excellence in performing through sound performance management.

It is fully expected that it will be necessary to refine this program as experience is gained. The amended program will be provided to the State Personnel Director. Once approved, changes will be communicated to employees and the revised plan will be available.

III. CREATING PERFORMANCE MANAGEMENT IN DPA

The public policy direction provided by the Legislature and Governor establishes the framework for senior executives to establish missions and goals. Clearly articulated missions and goals, in turn, allow managers, program directors, and supervisors to establish strategic, measurable, and verifiable objectives for work units, teams, and employees.

Developing the DPA Mission and Guiding Principles

DPA has closely followed this philosophy in implementing performance management within the Department. The process begins with the Executive Office where the Department's mission, vision, and strategic goals are established and reviewed annually as part of the strategic planning and budgeting process. DPA strongly believes a "clear line of sight" must be established and communicated throughout the organization and is critical to successfully implementing this performance management program. This allows all employees to understand how their work contributes to the success of the entire organization.

Linking the DPA Mission, Division Mission, and Employee Performance Plans

Explicitly linking the DPA mission, the 4 C's (Customers, Communication, Credibility, Commitment), and the Division mission in all employee performance plans is a critical step in focusing and aligning the organization. By working closely with supervisors to develop performance objectives and standards, all employees should be able to understand and accept accountability for performance outcomes that are under their control. Further, communication between employees and supervisors on performance objectives provides an opportunity for open discussion about performance expectations and job responsibilities that align with the goals of the Department and allow the employee to see the positive contribution made to the mission of DPA.

Statewide Uniform Competencies

Statewide uniform core competencies determined by the State Personnel Director and required by director's procedure are incorporated into every employee's performance plan with 4 C's and will be considered during every employee's evaluation. The core competencies are communication, interpersonal skills, customer service, accountability, and job knowledge. The employee must be evaluated and rated on each core competency. These core competencies are so important to basic performance, that not meeting expectations in any one core competency precludes a final overall rating above Successful.

Achieving Consistency in Performance Evaluations

An important component of a successful performance management program is a mechanism to ensure a consistent linkage between performance and pay. A common employee concern is that supervisors will not fairly or consistently evaluate employees. DPA believes that it is imperative for supervisors to establish consistent performance measures and evaluations for all employees. Further, DPA believes that consistency among sections within a Division and across Divisions is a worthy goal. To that end, executive management will review the quality and consistency of recommended overall ratings before they are finalized and released to employees.

Performance Levels

DPA has adopted alternate labels for the three Uniform Statewide rating levels defined by Director's Administrative Procedures.

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 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.

Successful

This rating 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 objectives 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 objectives that directly supports the mission of the organization.

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 and close supervision to ensure progression toward a level of performance that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a Successful rating and need coaching/direction in order to satisfy the core expectations of the position.

Team Performance Plans

Teams may be *ad hoc* teams formed solely to address a particular issue, or on-going to manage an entire process through shared leadership. DPA believes that success in today's governmental environment depends on teamwork.

On-going teams should have a team performance plan that links to the team, Division, and Department mission. Working closely with management, the team performance plan should be prepared by the team members and closely link to each team member's individual performance

plan. The department incentive award program includes provisions for team performance salary adjustments, including allowing all or part of each individual member's evaluation to be based on team performance.

IV. MANAGING THE PERFORMANCE MANAGEMENT PROCESS

Managing performance is one of the most fundamental accountabilities for organizational success. DPA believes all employees deserve to be evaluated on actual performance in relation to defined standards. Employees should not be penalized for a supervisor's failure to plan or evaluate as required by law and rule. Non-compliant raters and reviewers will be reported to Division Directors, the Deputy Executive Director, and the Executive Director so mandated sanctions can be imposed.

Performance Cycle

The performance cycle for DPA is April 1 through March 31. The performance cycle includes provisions for a mandatory documented progress review. Performance plans for all current DPA employees are to be finalized no later than 30 days after the beginning of the performance cycle. Plans for new employees must be finalized no later than 30 days from appointment. This includes current employees who transfer, promote, or demote to a different position, supervisor, or work unit.

The process and timeline for the cycle is as follows:

ACTIVITY	DATE
Performance Planning	Plans due April 1
Performance Progress Review (Mid year review required.)	October – complete by November 1
Completed Progress Reviews Due to HRU	November 6
Pre-rating Interview (No ratings communicated to employees at this time.)	March 31 - April 11
Supervisor Completes Performance Management Form and Preliminary Final Overall Rating (No ratings communicated to employees.)	April 12 – April 18
Supervisor Gives Completed Performance Management Form and Preliminary Rating to Reviewer (No ratings communicated to employees.)	April 19
Quality Review Process at Division level (No ratings communicated to employees.)	April 20 - 28
Quality Review Process of Exceptional and Successful ratings at Executive Management level. Occurs before ratings are finalized and provided to employees.	April 29 - May 5
Final Overall Rating Communicated to Employees	May 6 - 13
Final Overall Rating and Completed Performance Management Forms due to HRU	May 15
Dispute Resolution Process	May - June
Notice of Achievement Pay Letter for Employees Sent to Division Directors from the Department's payroll officer	June
Payment of Achievement Pay	July

Please note that if a deadline falls on a weekend or holiday, the deadline is the next business day.

Performance Planning

Although, the supervisor is ultimately responsible for developing an employee performance plan within established guidelines, the supervisor and employee need to work together to develop it. In the planning session, beginning with the previous year's plan (if it exists), the official job description and mission statements, they will determine whether management priorities have changed that necessitate a change in the employee's priorities, job assignment, or significant segments of the job to be evaluated. If the official job description, the Position Description Questionnaire (PDQ), does not reflect the duties assigned to the position, it should be updated and reviewed for appropriate allocation by HRU. The supervisor and employee should engage in dialogue on mutually understood performance objectives, measures, and assessment methods to be used for the upcoming performance cycle.

A standard *DPA Performance Management Form* has been developed and shall be used for employees, supervisors and managers. The form incorporates the three rating levels and consists of objectives, measurement standards, statewide uniform core competencies, and the 4 C's. The form documents the employee and supervisor agreement on the various planning and evaluation steps during the performance cycle.

If the immediate supervisor does not take appropriate action to complete a performance plan, it is the responsibility of the 2nd level supervisor to complete the plan and on up the chain of command until the plan is completed as required by law. Absent a significant hardship, supervisors who fail to timely establish a performance plan for their employees are to be issued a corrective action and are not eligible for any achievement pay. Further, supervisors who fail to establish a performance plan within 30 days of the corrective action are to be disciplinarily suspended in increments of one day following a pre-disciplinary hearing. The HRU will track this information and notify the Division Directors, Deputy Executive Director, and Executive Director so sanctions can be imposed.

Performance plans of all supervisors and managers shall include standards to measure and evaluate the effectiveness of the performance management of their employees.

Team performance plans may use the same format as individual performance plans. Team plans may rate the team as a whole if the work activities are the same and the team rating could be used as the individual rating. Another option is to use the team plan and rating as a component or portion of the individual performance plans of team members. All team members should be in agreement with the supervisor concerning the performance objectives of the team.

Communication and Feedback during the Performance Cycle

Continuous coaching and feedback between the supervisor and employee is key to sound performance management. This process should continue throughout the performance cycle and should be adequate enough to keep the employee timely and fully informed of progress in meeting performance expectations. At the same time, the employee has a responsibility to keep the supervisor timely informed of concerns or perceived problems in meeting the agreed upon performance expectations. Dialogue must be free and open so performance objectives and expectations can be collaboratively adjusted. At a minimum, one documented progress review at

mid-cycle must be held with all employees, although more frequent meetings are strongly encouraged. The date that meetings take place to discuss an employee's progress should be documented on the applicable *DPA Performance Management Form*. At the Division Director's discretion, mid-cycle ratings may be provided and filed with the HRU.

Modifications to the employee's performance plan may be necessary during the performance cycle. If so, the modifications must be documented on the *DPA Performance Management Form* and initialed by the employee, supervisor, and reviewer.

Communication among team members concerning ongoing performance is just as important as with individual employees. The above information on progress reviews, documentation, modifications and resolution of disagreements applies to teams.

Performance Evaluation

All employees must receive a written evaluation, at least annually, at the end of each performance cycle. The evaluation compares actual performance with the objectives and measures shown on the *DPA Performance Management Form*. 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.

DPA uses a non-numeric evaluation process, so employees will be given a qualitative rating. The rating will be converted to one of three rating levels: Exceptional, Successful or Needs Improvement. The final overall rating must be documented on the form. The employee's final overall evaluation category will determine the dollar amount (when funded) of achievement pay an employee is eligible to receive. If a supervisor has an employee with three months or less experience within DPA, an abbreviated overall rating is allowed based on the employee's performance to date.

If an employee moves to a position under another appointing authority or work unit during a performance cycle, an interim overall evaluation shall be completed and delivered to the new DPA appointing authority and HRU within 30 days.

If a DPA employee leaves the department, an interim overall evaluation shall be completed and delivered to HRU within three days of the employee's last day in DPA. HRU will forward the interim overall evaluation and the personnel file to the employee's new state agency no later than 10 days from the employee's last day with DPA. If an employee leaves state employment, the evaluation will be provided directly to the employee.

Immediate supervisors will meet with their employees by the end of March as part of the evaluation process to discuss results over the performance cycle. Both employees and supervisors should prepare for this meeting. Given coaching and feedback throughout the cycle, there should be no surprises. The final overall rating is not given at this time. The supervisor should consider all information, complete the *DPA Performance Management Form* with a recommended rating, and provide the form and any supporting documentation to the reviewer.

A designated reviewer must review an employee's completed evaluation. Usually, the 2nd level supervisor is the reviewer. This is to be accomplished before the final evaluation is given to the employee by the immediate supervisor. Reviewers are encouraged to meet with other designated reviewers in the division to ensure completion of evaluations with some consistency.

There shall be no quotas or processes for forced distributions for determining the number of ratings in any of the three performance levels. However, quality control is important to effective performance management and confidence in the program. Executive management will review recommended overall ratings for adherence to program policy and guidelines, distribution of ratings, and quality and consistency of ratings, including adequate written justification of an Exceptional rating. This quality review process occurs before ratings are finalized and communicated to employees.

Overall ratings will be finalized and the employee, supervisor, and reviewer will sign the *DPA Performance Management Form*. Completed performance evaluations will be sent to the HRU where they will be entered into the CPPS system and the achievement pay dollars (when funded) will be assigned as described in the next section. Prior to July 1, the Department's payroll officer will issue a written notice of the salary adjustment amount and type to each employee and it will include a description of the dispute resolution process.

If an immediate supervisor fails to timely complete an employee's evaluation within the specified deadlines provided in this program: it will be completed by the 2nd level supervisor (reviewer) and on up the chain of command until complete. Absent a significant hardship, supervisors who fail to timely evaluate their employees are to be issued a corrective action and are not eligible for achievement pay. Supervisors who fail to evaluate their employees within 30 days of the corrective action are to be disciplinarily suspended in increments of one week following a pre-disciplinary meeting. In addition, if any evaluation is not completed by July 1, the supervisor may be demoted. If failure to evaluate by July 1 occurs for 2 consecutive years, the supervisor shall be demoted to a non-supervisor position. HRU will notify division directors, the Deputy Executive Director, and the Executive Director of delinquent evaluations so sanctions may be imposed.

An employee who receives an overall evaluation of Needs Improvement shall be provided with a written formal performance improvement plan or a corrective action with a reasonable time to improve. If performance is still unsatisfactory at the time of reevaluation under a corrective action, disciplinary action may be taken. A performance improvement plan is not a corrective action and cannot be considered in corrective or disciplinary actions. A performance improvement plan should include the following components:

- a. The date the supervisor and employee meet to agree to developmental areas;
- b. A specific statement outlining the unacceptable performance;
- c. Specific performance changes (for both the supervisor & employee);
- d. Expected deadlines for performance changes;
- e. Dates for follow-up meetings to review progress; and,

- f. Consequences for failure to improve, e.g., corrective action.

V. ACHIEVEMENT PAY

Permanent employees who are rated at Successful and below pay range maximum may share in achievement pay (when funded). Employees at or above the range maximum are eligible for a non-base building salary adjustment only if rated at Exceptional. Needs Improvement performers are not eligible for any achievement pay.

Achievement pay meets two fundamental compensation principles that are also contained in statute: keep salaries competitive with the market and recognize performance. It also addresses concerns with the State's performance management system.

- Is simple and understandable.
- Restores the mechanism to move salaries through pay ranges by allowing the opportunity for salary growth in ranges based on competent, successful performance.
- Shows consistent and clear commitment to the statutory policy of performance-driven government.
- Offers uniformity in the system through single statewide rates set by the State Personnel Director, which minimizes variance with consistency while being flexible enough to respond to the market and budget realities of the State.
- Takes advantage of the strengths of base and non-base increases; the most effective use of funding and preserves the integrity of the pay structure and ranges.

The intent of Achievement Pay is to simply combine the two elements, market and performance, to get one amount for each occupational group that becomes a permanent part of base salary for all successful and above performers. In keeping with current practice, increases to base salary are subject to range maximums.

This element reflects the average salary increases found in the market for each occupational group. The amount received will vary by the eight occupational groups (no change from current practice). This element is a single uniform statewide percentage set by the State Personnel Director each year. The value of performance is not intended to vary by occupational group.

Non-base Achievement Pay is intended to differentiate and reward excellence to the greatest extent possible. It is a one-time monetary lump sum paid in July to those rated exceptional and must be re-earned each year. It is not subject to a range maximum or salary lid. The State Personnel Director sets this single uniform statewide percentage that is at least equal to the base performance rate. The non-base performance element is intended to reflect the concept that the value of performance does not vary by virtue of occupational group. As a means to further differentiate to the greatest extent possible, the exceptional who is at, near, or above the new range maximum will also receive any remaining portion of base Achievement Pay that would have taken the base salary above the range maximum as a one-time lump sum payment.

Pay increases based on the March 31 ratings are paid out in the next ensuing fiscal year starting July 1. Effective April 1, 2007, the State moved to a 3-level rating system.

The following table illustrates how the market salary and performance elements of base Achievement Pay will be applied under the new 3-level rating system (payouts July 2008, and beyond). Top performers are eligible for a non-base payment that must be re-earned each year.

Ratings and Payout Components	Performance Rating Level		
	Level 1 = Needs Improvement	Level 2 = Successful	Level 3 = Exceptional
March 31 Rating Paid July			
Market Adjustment (salary survey)	0%	Market	Market
Performance Base percentage*	0%	Y%	Y%
Performance Non-base percentage *	0%	0%	Z%

Note: The actual percentages will be based upon appropriated funding levels.
 Note: Employees who are rated Level 1 (Needs Improvement) are not eligible for salary increases unless their base salary is below the new minimum of the pay range, in which case, salary will be raised to meet the new range minimum.

Achievement Pay is June 30 base salary x market salary %, then x Y% performance base = new base salary, subject to range maximum. Salary figures are rounded to whole dollars at the end of the calculation. One time non-base payments are made by separate check. Below are three examples of how Achievement Pay is calculated. Each individual's pay situation is different, so exercise care in applying any of these illustrations to a specific employee.

Employee A – Controller I Base salary is \$4000 on June 30 and Successful performance rating. Financial Services Achievement Pay increase is 5.18% for successful and exceptional employees. Employee A is not eligible for non-base Achievement Pay.

On July 1: New pay range is \$3999 (min.) to \$5785 (max.)
 New base salary – **\$4207** (\$4000 x 1.0518)

Employee B – General Professional II Base salary is \$4000 on June 30 and Exceptional performance rating. Professional Services Achievement Pay increase is 4.38% for all successful and exceptional employees. In addition, Employee B will receive the non-base Achievement Pay, 2% of new annual salary, paid as a one-time lump sum in July.

On July 1: New pay range is \$3175 (min.) to \$4512 (max.)

New base salary – **\$4175** ($\4000×1.0438)
Non-Base Achievement Pay - **\$1002** ($\$4175 \times 12 \times .02$)

Employee C - Administrative Assistant III Base salary is \$3800 on June 30 and Exceptional performance rating. Administrative Support and Related Achievement Pay increase is 3.77% for all successful and exceptional employees. However, because Employee C's salary is very close to the range maximum, Employee C will only receive a portion of base building Achievement Pay (up to range maximum) and the remainder will be paid as a one-time non-base lump sum in July. In addition, Employee C will also receive the non-base Achievement Pay, 2% of new annual salary, paid as a one time lump sum in July.

On July 1: New pay range is \$2791 (min.) to \$3916 (max.)

New base salary – **\$3916** ($\$3800 \times 1.0377 = \3943 but base cannot exceed range maximum)

Remaining, over the maximum of the range non-base Achievement Pay as a lump sum - **\$324** ($\$3943 - \$3916 = \27×12)

Non-Base Achievement Pay - **\$940** ($\$3916 \times 12 \times .02$)

Total non-base one time lump sum paid in July - **\$1264** ($\$940 + \324)

Other Considerations:

- Employees must be employed on July 1 to receive achievement pay.
- Base building salary adjustments shall be paid as part of monthly base salary effective July 1 and applied after any statewide system maintenance or pay grade salary adjustments.
- Non-base building salary adjustments are permissible only to employees at or above the pay range maximum and rated at the Exceptional level. The salary adjustment shall be paid in a one-time lump sum in July (including employees terminating in July).
- Employees hired into the system during the performance cycle are eligible to receive the full percentage of base and non-base achievement pay on July 1st (based on overall rating received). If these employees receive an Exceptional rating and a non-base achievement pay applies, the employee shall receive a prorated amount of non-base payment for the time employed by DPA.
- Employees that have moved from another department into DPA and have received an interim or final overall evaluation from their previous department prior to the payment of the achievement pay will receive a salary adjustment under the provisions of DPA's performance management program.
- Employees granted achievement pay shall not be denied the award because of a corrective or disciplinary action issued for an incident after the close of the previous performance cycle.

- Base building salary adjustments are permanent and are paid as regular salary.
- Employees rated as Exceptional are eligible to receive non-base-building achievement pay in addition to base-building achievement pay. Additionally, employees rated as Exceptional are eligible to receive any remaining portion of base-building achievement pay that exceeded the pay range maximum as a one-time lump sum payment in the July payroll.
- Length of service in the state personnel system and source and method of funds are not factors.
- If an employee's base pay is at grade maximum or in saved pay status above the maximum, the employee is ineligible for achievement pay.

Incentive Awards

DPA is cognizant of the importance and desirability of recognizing performance of employees in a variety of ways. While it is known that achievement pay that adds to base salary are important, it is the policy of DPA to encourage and use awards of a non-monetary nature to supplement achievement pay. For purposes of this plan these are called incentive awards, which are not base building.

Employees at Successful and above are eligible for incentive awards regardless of their position in the pay range. DPA highly encourages that incentive awards be awarded to those employees that are rated Exceptional, at the pay range maximum, and do not receive achievement pay. Possible incentive awards are: Administrative Leave, Flex Time, Flex place, etc. Incentive awards are addressed in more detail in DPA's employee recognition policy.

Considerations for Team Recognition

When a team earns achievement pay or an incentive award, it is important that all team members receive recognition. In the case where an individual team member's rating is Successful or Exceptional and the person is at or above range maximum, the employee is not eligible for base building achievement pay based on the personnel rules. Individuals in this situation should be considered for an incentive award.

VI. PERFORMANCE MANAGEMENT DISPUTE RESOLUTION PROCESS

The State's performance pay dispute resolution process consists of two stages, an internal stage and an external stage. The dispute resolution process is not a grievance or an appeal. The following guiding principles apply to the DPA internal process.

- 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 process is not intended to be legalistic or adversarial.

- The process is open and impartial. An employee and supervisor will have the opportunity to be heard and have an issue reviewed objectively.
- A decision must be timely (as defined below) and fully address the concerns of an employee. All decisions will be provided in writing.
- The program will hold an employee and supervisor accountable for their job duties, responsibilities, and actions.
- It is not to be used if the evaluation results in a corrective/disciplinary action or involves allegations of discrimination.

The essential elements of DPA's process are as follows.

- *Informal Review.* The employee and supervisor should attempt to resolve any dispute within the five working day timeframe for initiating the internal review. If it involves lack of a plan or final overall rating, the time period begins with the due date established in the DPA performance cycle.
- *Internal Review.* 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 rating is given to the employee. The review and decision must be completed within 20 working days from the date of the action. A description of the DPA dispute resolution process, the *DPA Performance Pay Dispute Resolution Form*, and instructions will be available to the employee from the supervisor, appointing authority, HRU, or the Department's intranet website.
- The following matters are disputable.
 - a. The individual performance plan, including lack of a plan during the planning cycle*;
 - b. The individual final overall performance evaluation, including lack of a final overall evaluation*;
 - c. The application of the DPA performance management program to the individual's plan or final overall rating.
- The following matters are not disputable.
 - a. The content of the DPA performance management program;
 - b. Matters related to the funds appropriated;
 - c. The performance evaluations and achievement pay of other employees.

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

- The Division Director shall make the final decision concerning a dispute within the Division. If the employee reports directly to the Division Director, the Division Director may refer the dispute to the Deputy Executive Director for recommended resolution. The final recommendation shall be promptly delivered to the employee with copies to the Division Director, supervisor, and HRU.
- Only issues originally presented in writing shall be considered throughout the dispute process.
- Division Directors are limited to addressing facts surrounding the current action and shall not substitute their judgment for that of the rater and reviewer, but may recommend raters to follow the Department's program, correct errors, reconsider a performance rating or plan, or suggest other appropriate processes such as mediation. A decision cannot alter the DPA performance management program.
- Parties to the dispute have no absolute right to legal representation but may have one representative of their choice present and are expected to represent and speak for themselves.
- The employee will be given a written decision by the 20th working day from request of the internal review. The decision will include notice of the right to proceed to the external stage provided the dispute concerns the application of the department's performance management program or full payment of performance award (if relevant). Notice will include deadlines for filing; a list of what must be included in the request, and the address for filing. A brief summary of this information also appears on the *DPA Performance Pay Dispute Resolution Form*.

As provided by Director's Administrative Procedures, the external stage provides for a review by a written request to the State Personnel Director. The external stage is limited to the application of the DPA performance management program to the individual's plan or final overall evaluation. An employee must exhaust remedies provided for in the internal stage before proceeding to the external stage. An employee's written request for external review must be made to the State Personnel Director within five working days of the date of the department's final decision. The original *DPA Performance Pay Dispute Resolution Form*, any supporting documents, and the final decision must be included with the employee's written request for external review. The director may select a qualified neutral third party to review the matter. In reaching a final decision, these individuals have the authority to instruct a rater to:

- a. follow the agency's program;
- b. correct an error; or
- c. reconsider an individual performance plan or final overall evaluation.

These individuals may also suggest other appropriate processes such as mediation. A written decision in accordance with director's dispute resolution rules will be issued within 30 days of receipt. The decision is final and binding.

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

VII. COMMUNICATION AND TRAINING

Communication

Extensive communication is vital to the success of the performance management program. Communication establishes opportunities for dialogue on issues of critical importance, enhances credibility, promotes overall trust, and allows the monitoring of the program so continued improvements can be implemented. The following communication initiatives are planned for continuing the evaluation and improvement of the performance management program.

- ♦ The HRU will continue department-wide emails and on-site visits to respond to employee questions and concerns and provide updated information.
- ♦ Continue *Performance Matters* communication format and write articles for the department's newsletter to highlight the program, processes, forms, changes, and communicate examples of performance successes within DPA. Also, employee achievements will be publicized in the department's newsletter.
- ♦ Recognize incentive awards (cash and non-monetary) to employees for their performance successes throughout the year.
- ♦ Continue to include the performance management program as a periodic agenda item at executive management meetings to discuss and resolve emerging issues and obtain feedback on the program.
- ♦ Division Directors will continue to emphasize excellent performance throughout their divisions, e.g., staff meetings.
- ♦ DPA Orientation Program will include pertinent information on aspects of the performance management program including supervisor and employee roles and responsibilities under the performance management program.

Training

Training at all levels within the Department facilitates the acquisition of new skills, attitudes, and behaviors needed to learn to adapt to change and focus on the future.

As DPA continues to improve the performance management program, employees must continue to be knowledgeable about the performance management program. The Division Directors and HRU will provide the following information to all employees. Further, employees will receive any changes to the program policies on a timely basis.

- ♦ Achievement pay.
- ♦ How to use the *DPA Performance Management Forms*, including the definition of each rating level, the development of objectives and measurements, evaluating and rating, and participation in the process.
- ♦ The performance management dispute resolution process and form, and an employee's rights.

An important component of training is focused on supervisors in order to build consistency and quality in the performance management component of the program. All DPA supervisors must attend mandatory performance management training. New supervisors must attend training within 30 days of appointment. Under the performance management program, supervisors are coached to provide the right advice, support, assignments, and resources at the right time. The training is practical-focused and comprised of the following topics:

- *Overview of the DPA Performance Management Program's policies and processes.*
- *Performance Management:* performance planning, writing performance objectives and measures, interpersonal communication skills, preparation and conduct for coaching and feedback, performance evaluation skills, multi-source assessment processes; and the required supervisory performance objective.
- *Achievement Pay:* salary adjustment eligibility and performance levels, salary alternatives (incentive awards).
- *Dispute Resolution:* process and timelines, grounds for requesting dispute resolution, issues not disputable, alternative dispute resolution processes.

Executive management may determine when additional or ongoing training is necessary for supervisors and employees. HRU will diligently monitor training activities and progress in meeting training goals included within this program. Information sessions will be conducted as requested for employees to discuss the department's performance management program in detail. A user's guide is available to employees and managers containing such items as forms and highlights of the performance management program. HRU will provide assistance for writing quality performance objectives and measures and conducting the final overall rating.

VIII. RECORDKEEPING AND REPORTING

By May 15 of each performance cycle, all completed performance evaluation forms with the final overall rating, will be forwarded to the HRU located in the Executive Office and recorded in CPPS and the Department's automated performance management database.

HRU will use reports provided by the CPPS system and the performance management database to produce reports to the state personnel director in the requested format by the deadline. Further, each division is expected to accumulate and report information on performance incentive awards made to its employees throughout the performance cycle. The information to be reported for each employee includes the type and amount of non-monetary awards and the dollar amount of cash awards.

HRU, in conjunction with the Budget Unit, will compile and submit an annual report to the state personnel director that may include any of the following:

1. Total dollars awarded;
2. Amount of base and non-base salary adjustments;
3. Distribution of ratings;
4. Timeliness and completion of plans and ratings;
5. Sanctions imposed;
6. Dispute resolution requests and outcomes;
7. Retention; and,
8. Training conducted and cost.

IX. EVALUATION OF DPA IMPLEMENTATION OF PERFORMANCE MANAGEMENT PROGRAM

Executive management personnel are kept apprised of the operation of the performance management program at executive management meetings and by email through the Director of Human Resources. Further, as appropriate, the HRU will meet periodically with the Employee Council staff and management to discuss the current status of the program. The intent is to gather input, identify trends, recommend improvements, and create reports.

At the end of each performance cycle, each Division will be asked to provide a report assessing division and employee performance, and the effectiveness and efficiency of forms, materials, and processes. Several years of data will probably be necessary to establish meaningful trends.

Various reports will be made available to supervisors, managers, and human resource specialists within DPA to evaluate the results. The source of data will include the internal tracking system, CPPS, and input from employees and managers.

PERFORMANCE MANAGEMENT FORM - EMPLOYEE

*Our mission is to guide, administer, and support Colorado state government and its employees.
Good Government Starts Here.*



PERFORMANCE CYCLE: _____ to _____

Employee Name: _____		SSN: _____	
Job Class: _____		Position #: _____	
Division: _____		Unit/Team: _____	
Rater: _____	Position #: _____	Title: _____	
Reviewer (s): _____	Position #: _____	Title: _____	

PERFORMANCE PLANNING (due by April 1st or within 30 days of appointment, e.g., hire, promotion, transfer, new assignment)

- Review current Position Description Questionnaire and update if needed.
- Establish and discuss individual performance objectives.

I agree disagree with plan (attach written explanation for disagreement).

Employee Signature: _____ Date: _____

Rater Signature: _____ Date: _____

Reviewer(s) Signature(s): _____ Date: _____

COACHING AND PROGRESS REVIEWS

3-Month Review Date: _____	Employee Initials: _____	Rater Initials: _____
6-Month Review (REQUIRED) Date: _____	Employee Initials: _____	Rater Initials: _____
9-Month Review Date: _____	Employee Initials: _____	Rater Initials: _____

MODIFICATIONS TO THE PLAN

Date of change(s): _____	Employee Initials: _____	Rater Initials: _____	Reviewer Initials: _____
Date of change(s): _____	Employee Initials: _____	Rater Initials: _____	Reviewer Initials: _____
Date of change(s): _____	Employee Initials: _____	Rater Initials: _____	Reviewer Initials: _____

OVERALL EVALUATION

- Discuss performance results relative to the performance plan, including accomplishments, performance data and completion of core competencies and objectives.
- Supervisor completes evaluation form including narrative explanation and overall evaluation. Submit the form and rating to reviewer.
- Reviewer approves evaluation and recommended rating or discusses with supervisor.
- Rating reviewed at the division level.
- Rating reviewed at the department level if recommended rating is Exceptional or Needs Improvement.
- Final evaluation and rating discussed with employee and signed. Signed document due to HRU by May 15th.

<p style="text-align: center;"><input type="checkbox"/> Exceptional*</p> <p>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> <p style="text-align: center;">*Additional written justification required</p>	<p style="text-align: center;"><input type="checkbox"/> Successful</p> <p>This rating 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 objectives 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 objectives that directly supports the mission of the organization.</p>	<p style="text-align: center;"><input type="checkbox"/> Needs Improvement*</p> <p>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.</p> <p style="text-align: center;">*Attach Performance Improvement Plan or Corrective Action.</p>
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Type of Rating: Interim Rating: Transfer Promotion Change in Supervisor

Final Annual Rating

Abbreviated Final Rating (only use if employee is hired into DPA within 90 days prior to the end of the performance cycle).

I agree disagree with evaluation (attach written explanation for disagreement).

Employee Signature: _____ Date: _____

Rater Signature: _____ Date: _____

Reviewer(s) Signature(s): _____ Date: _____

PART I. CORE COMPETENCIES

Instructions: Expectations listed are examples only and may be modified or added to as appropriate for each position.

COMPETENCY	RESULTS <i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i>	RATING
<p>Communication: Effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and customers so as to anticipate problems and ensure the effectiveness of DPA.</p> <ul style="list-style-type: none"> • Listens and responds to others appropriately. • Provides accurate, complete, and timely information, both written and verbal. • 		<input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement
<p>Customer Service/Interpersonal Skills: Works effectively with internal/external customers to satisfy product and service expectations. Shows respect when dealing with others. Interacts effectively with others to establish and maintain smooth working relations.</p> <ul style="list-style-type: none"> • Treats others fairly and without prejudice or bias. • Handles conflict constructively, with tact and diplomacy. • Responds promptly, courteously, and effectively to customers. • Considers internal and external customers' input to improve products and services. • 		<input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement
<p>Credibility/Accountability/Job Knowledge: Demonstrates responsible personal and professional conduct that contributes to the overall goals and objectives of DPA. Skilled in job-specific knowledge that is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.</p> <ul style="list-style-type: none"> • Shows personal and professional pride in work. • Displays a high degree of honesty and integrity. • Conveys a positive professional image of the DPA. • Follows policies, procedures, and rules to contribute to a positive, productive, and safe work environment. • Shares knowledge with co-workers. • Takes opportunities to increase knowledge of relevant job skills. • 		<input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement

PART II. PERFORMANCE OBJECTIVES

Attach additional sheets as needed.

PERFORMANCE OBJECTIVE Objective: _____ <i>List the significant duties and behaviors required for successful performance, i.e., identify what is expected in the performance of this objective.</i>	RESULTS <i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i>
MEASUREMENT STANDARDS <i>List output or results that are expected for performance of duties.</i>	
Needs Improvement (optional)	
Successful	
Exceptional (optional)	
	RATING
	<input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement

<p align="center">PERFORMANCE OBJECTIVE</p> <p>Objective: _____ <i>List the significant duties and behaviors required for successful performance, i.e., identify what is expected in the performance of this objective.</i></p>	<p align="center">RESULTS</p> <p><i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
<p align="center">MEASUREMENT STANDARDS</p> <p><i>List output or results that are expected for performance of duties.</i></p>	
<p align="center">Needs Improvement (optional)</p>	
<p align="center">Successful</p>	
<p align="center">Exceptional (optional)</p>	
	<p align="center">RATING</p> <p><input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement</p>

<p align="center">PERFORMANCE OBJECTIVE</p> <p>Objective: <i>List the significant duties and behaviors required for successful performance, i.e., identify what is expected in the performance of this objective.</i></p>	<p align="center">RESULTS</p> <p><i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
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<p align="center">Needs Improvement (optional)</p>	
<p align="center">Successful</p>	
<p align="center">Exceptional (optional)</p>	
	<p align="center">RATING</p> <p><input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement</p>

PART III. OVERALL PERFORMANCE RATING

The Overall Performance Rating represents the supervisor's assessment of the employee's performance for the evaluation period, given the environment in which the performance took place. All employees are encouraged to focus on the balance between achieving results (Performance Objectives) and behavior (Core Competencies).

Instructions: Enter the Ratings for Parts I, II, and III:

Part I: CORE COMPETENCIES RATING		
<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement
Part II: PERFORMANCE OBJECTIVES RATING		
<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement
Part III: OVERALL PERFORMANCE RATING		
<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement

- If an employee receives a "Needs Improvement" rating on any core competency, the employee cannot qualify for an Exceptional rating regardless of the ratings for Part II.
- Any supporting documentation may be attached to this form.

If the employee refuses to sign this form, the rater records the date on which the employee refused to sign on the line designated for the employee's signature. The employee has the right to initiate a dispute concerning the performance plan or final overall performance rating. The employee has 3 working days from the date of the event to resolve the dispute informally with the supervisor. If not resolved, the employee may enter the formal dispute process to the division director by submitting a completed *DPA Performance Pay Dispute Resolution Form* within 5 working days from the date of the event.

EMPLOYEE COMMENTS:

RATER COMMENTS:

Rev. Feb 2007

PERFORMANCE MANAGEMENT FORM – SUPERVISOR/MANAGER

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PERFORMANCE CYCLE: _____ to _____

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Job Class: _____	Position #: _____
Division: _____	Unit/Team: _____
Rater: _____	Position #: _____ Title: _____
Reviewer (s): _____	Position #: _____ Title: _____

PERFORMANCE PLANNING (due by April 1st or within 30 days of appointment, e.g., hire, promotion, transfer, new assignment)

- Review current Position Description Questionnaire and update if needed.
- Establish and discuss individual performance objectives.

I agree disagree with plan (attach written explanation for disagreement).

Employee Signature: _____ Date: _____

Rater Signature: _____ Date: _____

Reviewer(s) Signature(s): _____ Date: _____

COACHING AND PROGRESS REVIEWS

3-Month Review Date: _____	Employee Initials: _____	Rater Initials: _____
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MODIFICATIONS TO THE PLAN

Date of change(s): _____	Employee Initials: _____	Rater Initials: _____	Reviewer Initials: _____
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- Reviewer approves evaluation and recommended rating or discusses with supervisor.
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Type of Rating: Interim Rating: Transfer Promotion Change in Supervisor

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I agree disagree with evaluation (attach written explanation for disagreement).

Employee Signature: _____ Date: _____

Rater Signature: _____ Date: _____

Reviewer(s) Signature(s): _____ Date: _____

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Instructions: Expectations listed are examples only and may be modified or added to as appropriate for each position.

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<p>Customer Service/Interpersonal Skills: Works effectively with internal/external customers to satisfy product and service expectations. Shows respect when dealing with others. Interacts effectively with others to establish and maintain smooth working relations.</p> <ul style="list-style-type: none"> • Treats others fairly and without prejudice or bias. • Handles conflict constructively, with tact and diplomacy. • Responds promptly, courteously, and effectively to customers. • Considers internal and external customers' input to improve products and services. • 		<input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement
<p>Credibility/Accountability/Job Knowledge: Demonstrates responsible personal and professional conduct that contributes to the overall goals and objectives of DPA. Skilled in job-specific knowledge that is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.</p> <ul style="list-style-type: none"> • Shows personal and professional pride in work. • Displays a high degree of honesty and integrity. • Conveys a positive professional image of the DPA. • Follows policies, procedures, and rules to contribute to a positive, productive, and safe work environment. • Shares knowledge with co-workers. • Takes opportunities to increase knowledge of relevant job skills. • 		<input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement

PART II. PERFORMANCE OBJECTIVES

Attach additional sheets as needed.

PERFORMANCE OBJECTIVE Objective: _____ <i>List the significant duties and behaviors required for successful performance, i.e., identify what is expected in the performance of this objective.</i>	RESULTS <i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i>
MEASUREMENT STANDARDS <i>List output or results that are expected for performance of duties.</i>	
Needs Improvement (optional)	
Successful	
Exceptional (optional)	
	RATING
	<input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement

<p align="center">PERFORMANCE OBJECTIVE</p> <p>Objective: _____ <i>List the significant duties and behaviors required for successful performance, i.e., identify what is expected in the performance of this objective.</i></p>	<p align="center">RESULTS</p> <p><i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
<p align="center">MEASUREMENT STANDARDS</p> <p><i>List output or results that are expected for performance of duties.</i></p>	
<p align="center">Needs Improvement (optional)</p>	
<p align="center">Successful</p>	
<p align="center">Exceptional (optional)</p>	
	<p align="center">RATING</p> <p><input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement</p>

<p align="center">PERFORMANCE OBJECTIVE</p> <p>Objective: _____ <i>List the significant duties and behaviors required for successful performance, i.e., identify what is expected in the performance of this objective.</i></p>	<p align="center">RESULTS</p> <p><i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
<p align="center">MEASUREMENT STANDARDS</p> <p><i>List output or results that are expected for performance of duties.</i></p>	
<p align="center">Needs Improvement (optional)</p>	
<p align="center">Successful</p>	
<p align="center">Exceptional (optional)</p>	
	<p align="center">RATING</p> <p><input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement</p>

PART III. HUMAN RESOURCES

Mandatory objective for all managers and supervisors.

<p style="text-align: center;">PERFORMANCE OBJECTIVE</p> <p style="text-align: center;">Objective: HUMAN RESOURCE MGMT. (Mandatory objective for all managers and supervisors) Additional expectations may be listed.</p>	<p style="text-align: center;">RESULTS</p> <p style="text-align: center;"><i>Lists noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
<ul style="list-style-type: none"> • Effectiveness in performance management of staff. • Flexible to changing assignments and priorities. • Application of business skills and sound judgment. • Complies with rules laws and other policy directives and accountable for reasonable business decisions in implementing policy directives that comply with rules, procedures, and laws. • • • 	
<p style="text-align: center;">MEASUREMENT STANDARDS</p> <p style="text-align: center;"><i>List output or results that are expected for performance of duties.</i></p>	
<p>Needs Improvement (optional)</p>	
<p style="text-align: center;">Successful</p> <ul style="list-style-type: none"> • Communicated goals, plan, objectives, and deadlines to employees. • Attended mandatory training sessions. • Maintained knowledge of employee work to provide supervision, feedback, and training for employees. • Conducted performance planning and appraisals for employees with supporting justification. • Adhered to department and State policies and procedures as appropriate to resolve disputes. • Resolves personnel issues or problems. • Took a proactive approach to prevent employee disputes. 	
<p>Exceptional(optional)</p>	
<p>RATING</p>	
<p style="text-align: center;"> <input type="checkbox"/> Exceptional <input type="checkbox"/> Successful <input type="checkbox"/> Needs Improvement </p>	

PART IV. OVERALL PERFORMANCE RATING

The Overall Performance Rating represents the supervisor's assessment of the employee's performance for the evaluation period, given the environment in which the performance took place. All employees are encouraged to focus on the balance between achieving results (Performance and Human Resources Objectives) and behavior (Core Competencies).

Instructions: Enter the Ratings for Parts I, II, and III:

Part I: CORE COMPETENCIES RATING		
<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement
Part II: PERFORMANCE OBJECTIVES RATING		
<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement
Part III: HUMAN RESOURCES OBJECTIVE RATING		
<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement
Part IV: OVERALL PERFORMANCE RATING		
<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement

- *If an employee receives a "Needs Improvement" rating on any core competency, the employee cannot qualify for a Exceptional rating regardless of the ratings for Part II.*
- Any supporting documentation may be attached to this form.

If the employee refuses to sign this form, the rater records the date on which the employee refused to sign on the line designated for the employee's signature. The employee has the right to initiate a dispute concerning the performance plan or final overall performance rating. The employee has 3 working days from the date of the event to resolve the dispute informally with the supervisor. If not resolved, the employee may enter the formal dispute process to the division director by submitting a completed *DPA Performance Pay Dispute Resolution Form* within 5 working days from the date of the event

EMPLOYEE COMMENTS:

RATER COMMENTS: