

Colorado  
Performance Based  
Pay

At

Auraria Higher  
Education Center

Colorado Performance Based Pay  
Auraria Higher Education Center

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## **Outline of Pay for Performance at the Auraria Higher Education Center**

### **I. Mission of the Auraria Higher Education Center**

The Auraria Enterprise is committed to providing an effective, comprehensive and supportive environment which facilitates the missions of the Community College of Denver, Metropolitan State College of Denver and University of Colorado at Denver and Health Sciences Center.

#### **VISION**

We provide the quality environment that supports quality education.

#### **VALUES**

The purpose of the Auraria Enterprise is to support the Community College of Denver, Metropolitan State College of Denver and University of Colorado at Denver and Health Sciences Center and to facilitate the achievement of their goals and objectives.

The Auraria Enterprise team is committed to the long-term success and welfare of this organization.

We strive to provide a safe and open environment for all employees and commit to the following in our daily activities:

*Respect*  
*Courtesy*  
*Honesty*  
*Trust*  
*Consistency*  
*Service*

**II. The purpose of Colorado Performance based pay at Auraria is to facilitate and maximize the contribution of each employee in carrying out the Auraria mission and to provide compensation to employees in a manner that is directly related to their level of success in meeting established objectives.**

A. Goals and objectives.

- (1) Match individual employee and program goals and objectives with customer goals and objectives.

- (2) Ensure understanding of performance measures by employee and supervisor.
  - (3) Ensure understanding of performance evaluation by employee and supervisor.
  - (4) Ensure continuous communication between employees and supervisors.
  - (5) Allow supervisors to create and implement performance plans and evaluations which maximize and reward employee performance.
  - (6) Define and support the cultural values of the Auraria Center.
- B. Budget strategy for adequate funding of performance salary adjustments.
- (1) The most valued resource at AHEC are our employees.
    - (a) A funding priority at AHEC will be to provide the necessary funds to reward employees.
    - (b) A management priority at AHEC will be to retain and promote commendable and outstanding employees.
  - (2) Each Operating Division of the Auraria Center will develop a strategic plan that states the Division's mission and describes goals and objectives of the Division in carrying out its mission.
    - (a) Division Plans will conform to the overall Auraria Center's mission.
    - (b) Each operating program within the Division will develop and review, on an annual basis, a mission statement and goals and objectives for carrying out their mission.
    - (c) Division plans will be approved by the Auraria Executive V.P. for Administration.
  - (3) Budget requests and funding plans will conform to Division and department missions.
    - (a) Each division will request funds to meet needs of employee performance salary adjustments.
    - (b) Performance salary adjustment request will be for base building adjustments.

(c) Quotas or forced distribution methods will not be used to determine rating levels.

(d) Performance salary adjustments are subject to available funding and no adjustments will be guaranteed.

C. Administer a simple, “user friendly”, performance planning and appraisal process.

### **III. Pay Philosophy**

Permanent employees, with a rating of successful, commendable or outstanding, are eligible for a performance salary adjustment each year. An employee’s salary will be adjusted based on actual performance and the expectations that the employee met or exceeded in an appraisal period. An employee’s salary increase will be the same percentage of base salary as all other employees receiving the same performance rating for that period. Performance based salary adjustments will be base building until the employee’s base salary reaches the maximum for that pay range. For employees receiving an Outstanding rating any portion of the adjustment amount that exceeds grade maximum shall be paid as a one-time lump sum in the July payroll. Performance increases will be distributed in accordance with the intent of the general assembly. Prior to the payment of annual performance salary adjustments, the director shall specify and publish the percentage ranges for performance level based on the available statewide performance pay funding.

### **IV. Performance Planning**

A. Plans will be based on a detailed job analysis and review of job duties, including the PDQ, for each position in a program.

(1) Analysis must result in definition of the most important factors for each position that are consistent with the mission and goals of program.

(2) Program mission and goals must be coordinated with Division strategic plan.

- (3) Analysis must be done by both the supervisor and employee.
  - (4) Customer survey information may be considered.
- B. Establish objective performance expectations.
- (1) Expectations should be relevant to the job rather than the person.
  - (2) Result must be clear understanding of all performance expectations and must be specific, attainable, measurable and observable.
  - (3) Priorities will be assigned to each performance expectation based on the importance to the agency and department mission statement and goals.
  - (4) Development of performance plans must be a combined effort of the supervisor and the employee.
  - (5) If a supervisor (rater) fails to complete a performance plan, the reviewer is responsible for completion. If the reviewer fails to complete the plan, the reviewer's supervisor is responsible on up the chain of command until the plan is completed as required. If a rating is not given, the overall evaluation shall be satisfactory until a final rating is completed.
  - (6) Absent extraordinary circumstances, failure to timely plan and evaluate employees in accordance with AHEC's timelines will result in a corrective action and ineligibility for a performance award. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the designated rater shall be disciplinary suspended in increments of one workweek following the pre-disciplinary meeting.
  - (7) A plan and job analysis may be reviewed by the immediate supervisor of the employee's supervisor at the discretion of the supervisor's supervisor.
  - (8) A plan and job analysis may be reviewed by the immediate supervisor of the employee's supervisor when the employee does not agree with the plan.
- C. Plan must contain expected work behaviors that are consistent with AHEC cultural values as outlined in the mission statement.

- (1) Values are Respect, Courtesy, Honesty, Trust, Consistency, and Service.
  - (2) The concept of a “team” organization as stated in the AHEC Mission.
- D. Plan must contain the statewide core competencies.
- E. Developmental performance objectives can be included in the plan.
- F. Expectations and evaluations of expectations must be based upon factual information.
- G. Planning and evaluation period at Auraria is one year beginning April 1 and ending March 31; Plans may be modified throughout the appraisal period.
- H. Plans must be developed by April 1 or within 30 days of hire.
- I. Develop Planning Guidelines
- (1) A common format will be used throughout the agency.
  - (2) Must contain a minimum of three and no more than six competence expectations.
  - (3) Must contain statewide core competencies.
  - (4) Supervisor plans must contain supervisory expectations

**V. Performance Appraisal**

- A. Ratings will be based on four appraisal levels.
- (1) Needs Improvement
  - (2) Successful
  - (3) Commendable
  - (4) Outstanding
- B. Ongoing communication and feedback between the supervisor and employee is essential to the success of effective performance appraisals.

Appraisals will be conducted, and plans reviewed and modified, as needed, twice a year.

- (1) Final appraisal due on March 31 for all Auraria employees.
- (2) Progress appraisals, which will include coaching and feedback, must be completed by September 30 and March 31.
- (3) A multi-rater feedback appraisal which relates to the AHEC mission statement and may be conducted on an annual basis with results available to supervisors no later than March 1.
- (4) Raters evaluation of the employee's performance must be reviewed by a higher level.
- (5) Final ratings will be based on two appraisals and may include one multi-rater feedback assessment conducted prior to February 1.
- (6) An overall rating of Needs Improvement must result in a corrective action or performance improvement plan.
- (7) An evaluation of the employee's performance must occur. If the rater fails to complete the individual performance evaluation, the reviewer is responsible for completion. If the reviewer fails to complete the evaluation, the reviewer's supervisor is responsible, on up the chain of command until the evaluation is completed as required. If a rating is not given, the overall evaluation shall be satisfactory until a final rating is completed.
- (8) Absent extraordinary circumstances, failure to timely plan and evaluate employees in accordance with AHEC's timelines will result 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 designated rater shall be disciplinary suspended in increments of one workweek following the pre-disciplinary meeting.

C. There will be a performance improvement process:

- (1) Allows for due process
- (2) Flexible, allows for supervisor to take formal corrective action or informal performance improvement within an appraisal period.

D. There will be a process to manage disputes with performance appraisals.

- (1) The dispute process will be open and impartial and allow for the parties to have their issues heard.
- (2) Include a review committee so that issues may be reviewed objectively.

## **VI. Compensation of Performance.**

A. Process for budgeting performance salary adjustment funds.

- (1) Base building performance adjustments to salaries will be entered into EMPL and will be budgeted to take effect on July 1.
- (2) For employees rated outstanding any portion of the adjustment that exceeds grade maximum shall be paid as a one-time lump sum in the July payroll.
- (3) Employees will be informed of the amount of their performance salary adjustment, no later than June 30.
- (4) Vacancy savings cannot be a management strategy for funding performance pay
- (5) Supervisors who do not complete plans or evaluations for their own employees are not eligible for any performance based pay adjustment.
- (6) Performance increases will be distributed in accordance with the intent of the general assembly.
- (7) 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.

B. Permanent employees are eligible for performance salary adjustment based on their final, overall, annual rating. Employees may not be granted an adjustment greater than the set award maximum.

- (1) Employees rated Outstanding will be eligible for the maximum performance salary adjustment.

Employees who are rated Outstanding, and are at or above traditional maximum will receive a one time lump sum in the July payroll.

Only Outstanding performers are eligible for monetary awards above range maximum.

- (2) Commendable and Successful performers can earn up to range maximum but not beyond.
- (5) No award is given to employees rated Needs Improvement.

- C. Performance salary adjustments will vary from year to year based on the overall performance of AHEC and the statewide maximum percentage adjustment allowable for outstanding level ratings as established annually by the State Personnel Director. AHEC Performance will be determined as:

- (1) Defined by customers.
- (2) Defined by actions of constituent institutions.

- D. Non cash awards may be given to employees with a rating of successful, commendable or outstanding, at the discretion of the supervisor and may include, but are not limited to:

- (1) Paid leave
- (2) Education/Training classes
- (3) Gift certificates/entertainment tickets

Non-cash awards are not calculated in the total amount awards.

## **VII. Evaluation of Pay for Performance Process**

- A. Establish review committee made up of employees and supervisors.

- B. Process evaluated for two years.
  - (1) Evaluation of scores and performance statistics.
  - (2) Recommendations for change and “fine tuning” of process.
  - (3) Eliminate unproductive, dysfunctional practices.

### **VIII. Communication and Training**

- A. The Department of Human Resources will communicate pay for performance information to AHEC employees and supervisors. This includes the PBP Plan and Philosophy.
  - (1) Communication method will be compatible with different work unit/program needs.
    - (a) Town meetings held to discuss the PBP plan.
    - (b) Electronic communication means will be developed for those work unit/programs that use such means in their daily work environment.
    - (c) Newsletters, including the HR Headliner, memos, and other communication means will be developed to accommodate work unit/programs that have little or no access to electronic communication means.
    - (d) Language translation will be defined as necessary to meet AHEC employee needs.
  - (2) A survey method for obtaining employee feedback on the pay for performance process will be performed.
    - (a) Reports will be compiled that provide information to the Executive V.P. for Administration of AHEC progress or problems that result from the pay for performance process.
    - (b) Data will be compiled that provides information on how pay decisions are being implemented.

- B. Department of Human Resources will conduct employee orientation programs on performance management at the Auraria Higher Education Center.
  - (1) Programs will define and communicate performance expectations for employees at Auraria.
    - (a) Mission, Vision and Value Statements
    - (b) Agency and Department Strategic Plans.
    - (c) Performance Based Pay Plan.
  - (2) Programs will describe the performance review process and the method for evaluation and compensation for performance.
    - (a) Provide training on development of performance plans.
    - (b) Provide training on goal setting and development of performance objectives.
    - (c) Provide training on development of performance measures.
    - (d) Provide training on employee responsibilities.
- C. Department of Human Resources will conduct mandatory orientation and training programs for supervisors and managers on an annual basis.
  - (1) Program will define and communicate performance expectations for supervisors at Auraria.
    - (a) Provide training on supervisor role in communicating with, and coaching employees.
    - (b) Provide training for supervisors in developing work unit/program goals and objectives.

- (c) Provide training for supervisors in developing employee performance measures that relate to the performance goals and objectives of the work unit/program,
- (2) Program will describe the performance review process and the method of paying for performance.
  - (a) Provide training on development of employee performance plans.
  - (b) Provide training on development of program and employee performance measures that relate to the performance of the work unit/program.
  - (c) Provide training on supervisory skills, coaching techniques, appraisal techniques and documentation skills in order to achieve employee performance.

#### **IX. Annual Reporting of Performance Based Pay for Performance at Auraria**

Human Resources will develop tool(s) to track and report:

- Performance and salary adjustment information.
- Calculation used to determine payouts.
- Total amount of dollars awarded to employees for performance salary adjustments.
- Total amount of dollars awarded for each performance category.
- All required information will be reported to the State Personnel Director by the specified deadlines.

#### **X AHEC Dispute Resolution Process for Performance Plans and Appraisals**

A. The dispute resolution is an open, impartial process that is not a grievance or an appeal.

1. Annually, during the planning process employees will be notified of the dispute resolution process.

2. Responsibility to show proof or support that a problem or issue exists falls upon the employee.
- B. Matters that are disputable include:
1. Individual performance plans or lack of a plan.
  2. Individual final overall performance evaluation, including lack of final overall evaluation.
  3. Application of AHEC's performance pay plan, to the individual employee's plan and/or final overall evaluation.
  4. Full payment of any salary adjustment granted.
- C. Issues that are NOT disputable include:
1. Content of AHEC's performance pay program.
  2. Matters related to the funds appropriated.
  3. The performance evaluations and awards of others employees.
  4. The amount of a performance salary adjustment unless the issue involves the application of the department's performance pay program.
- D. Issues not related to the performance plan or appraisal will not be considered in the dispute resolution process.
- E. The first stage of the dispute resolution process will be an internal review
- F. Formal review of issues must be requested in writing, from the employee.
- G. Decision-makers in the review process will limit their scope of authority to the facts surrounding the action in dispute.
- H. If the issues is not resolved at the internal state of the dispute resolution process the employee will be notified in writing that they may submit a request to the Director.
- I. No party has an absolute right to legal representation but may have an advisor present. The parties are expected to represent and speak for themselves.

**XI. INFORMAL REVIEW BY SUPERVISOR (First Step) (Internal)**

- A. Employee and supervisor schedule a meeting to resolve any disagreement on performance plan or appraisal.

- B. Meeting to be held within 10 days of employee initially receiving the plan or appraisal. The employee should provide the supervisor with a written request for specific changes in the plan and/or appraisal.
- C. Employee has the responsibility of producing any supporting documentation which supports their position in the disagreement.
- D. At the conclusion of the meeting:
  - 1. The supervisor shall provide the employee with a decision within 7 days after the grievance is conducted.
  - 2. The employee and supervisor must sign the performance plan or appraisal to acknowledge it has been discussed.
- E. If the employee still disagrees with the decision of the supervisor, the employee may initiate a more formal review of the dispute.

**XII. FORMAL REVIEW BY APPRAISAL REVIEW AUTHORITY  
(Second Step) (Internal)**

- A. The employee may submit a written request for a formal review to the authorized reviewer within 5 days of the date that the plan or appraisal was signed. A copy of the request shall also be provided to the immediate supervisor.
- B. The request should:
  - 1. Contain specific reasons why the employee disputes the plan or appraisal,
  - 2. Indicate the remedy the employee is seeking (changes to the rating, reconsideration of a performance objective....)
  - 3. Include all appropriate documentation, which will support the employee's position.
- C. Disputes with the supervisor, outside of the performance plan or appraisal, shall not be taken into account at this time.
- D. The reviewer is limited to addressing facts surrounding current action and shall not substitute their judgment for that of the rater, but may instruct the rater to follow the agency plan, correct errors, reconsider a performance rating or plan or other appropriate action. The reviewer cannot render a decision that would alter the agency's PBP plan.

- E. The authorized reviewer will meet with the employee, and may meet with the supervisor at his/her discretion. A decision shall be made and communicated in writing, to the employee, within 5 working days of the date the review request was received.

### **XIII. FORMAL REVIEW BY APPOINTING AUTHORITY (Internal)**

- A. If the employee does not agree with the decision of the authorized reviewer, the dispute may be forwarded to the appointing authority within 3 days of the date the reviewer's decision was received.
- B. The employee may not include any additional issues or items for consideration, other than those that were originally submitted for review.
- C. The appointing authority may review the dispute or appoint an objective person or persons to make recommendations within 10 working days from the date the request was received.
- D. The reviewer is limited to addressing facts surrounding current action and shall not substitute their judgment for that of the rater, but may instruct the rater to follow the agency's plan, correct errors, reconsider a performance rating or plan or other appropriate action. The reviewer cannot render a decision that would alter the agency's PBP plan.
- E. The appointing authority or designee shall communicate a decision, in writing, to the employee and supervisor within 10 days. Written notice the employee shall include the following information:
  - 1. The employee may within 5 days from the appointing authority's decision file a written request for review to the director at:  
Attention Appeals Processing  
1120 Lincoln Street, Suite 1420  
Denver, Colorado 80203
  - 2. The request for review shall include a copy of the original issue as submitted in writing and the department's final decision
- F. The decision of the appointing authority/designee is final and binding.

#### **XIV. EXTERNAL REVIEW**

Employees may, after final agency review, request a review by the State Personnel Director for matters relating to application of the agency's plan or full payment of a performance salary adjustment.

This request must be made in writing within 5 working days of the agency's final decision and must include a copy of the original issues and final decision.

#### Appendix A

#### **PBP DEFINITIONS**

**COMMENDABLE** – This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, 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.

**DEPARTMENT** - A single purpose organization within a division of the Auraria Higher Education Center that is managed by a director reporting to a division director.

**DEVELOPMENTAL PERFORMANCE OBJECTIVES** – Individual performance objectives which may include training plans; steps to improve areas previously determined to need improvement; or employee career development goals.

**DIVISION** – Major line organization of the Auraria Higher Education Center that consists of more than one department, program, and sub program. A division is managed by a director that serves at the will of the Auraria Executive Vice President for Administration.

**EXPECTATIONS** – Defines the: who, what, when, where, and how of the desired level of performance.

**INDIVIDUAL PERFORMANCE OBJECTIVES** - Individual performance expectations which may include training plans; steps to improve observed performance skills determined to need improvement; or employee career development goals.

**JOB ANALYSIS** – The process of recording information about the job tasks, responsibilities and priority

**MEASURES** - A basis or standard of comparison. Defines what will be measured to determine a successful level of performance. Measures usually consist of one or more of the following criteria: quantity, quality, time or cost.

**MISSION STATEMENT** - A brief statement that describes: what business an organization is in; why an organization exists; what is primary purpose of an organization.

**MULTI-RATER ASSESSMENT** – An assessment tool that gathers data regarding an employee’s performance from those that work most closely with him/her. These can be supervisors, peers, direct reports, and possibly internal and/or external customers.

**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.

**NON-MONETARY AWARD** - a non-cash reward that is given based on performance.

**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.

**PERFORMANCE APPRAISAL** - A system that provides a periodic review and evaluation of an individual’s job performance.

**PERFORMANCE BASED PAY** - Adjustment to employee compensations that is tied to appraisal of employee performance.

**PERFORMANCE MANAGEMENT** - Links individual work and appraisal plan to organization strategic plan, mission, goals, and objectives. Provides for coaching and feedback to employees on a continuous basis. Includes a formal appraisal process.

**POSITION** - A particular job within an organization assigned to a single individual to perform.

**PROGRAM** – A single purpose organization of an Auraria department.

**STANDARD** - Criterion established by authority, custom or general consent as a model or example.

**SUB-PROGRAM** – A single purpose organization of an Auraria program.

**SUCCESSFUL** – 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.

**TEAM** - A group of individuals working together to achieve a common purpose, goal, or objective.

**VISION STATEMENT** – A clear, concise and inspiring statement emphasizing how the organization should operate.

Appendix B

**AURARIA HIGHER EDUCATION CENTER  
PERFORMANCE BASED PAY CALENDAR**

<b>February 1</b>	Deadline for completing update of divisions' strategic plans
<b>March 1</b>	Deadline for completing update of department/shop operating plan.
<b>March 31</b>	Deadline for final performance appraisal for all employees.  Deadline for completing new performance plans.
<b>May 1</b>	Final approval of AHEC's budget for the new fiscal year.
<b>September 30</b>	Second performance appraisal due.
<b>March 31</b>	Third and final performance appraisal due.

Appendix C

## PBP Job Analysis Questionnaire

**Position Title**  
**Position number**  
**AHEC Division/Dept.**

**What is the overall purpose of this position?**

**List the major job responsibilities of this position, from most important to less important**

**I. Job Responsibility\_\_\_\_\_**

- 1. Primary customers/main contacts for this position?**
- 2. Time frame for completing this job responsibility?**
- 3. Interpersonal behaviors and personal traits required providing high quality service and performing this job responsibility successfully?**
- 4. How would you differentiate the outcome or finished product for this job responsibility?**

**Outstanding**

**Successful**

**Needs improvement**

**II. Job Responsibility**\_\_\_\_\_

1. **Primary customers/main contacts for this position?**
  
2. **Time frame for completing this job responsibility?**
  
3. **Interpersonal behaviors and personal traits required providing high quality service and performing this job responsibility successfully?**
  
4. **How would you differentiate the outcome or finished product for this job responsibility?**

**Outstanding**

**Successful**

**Needs improvement**

**III. Job  
Responsibility**\_\_\_\_\_

1. **Primary customers/main contacts for this position?**
  
2. **Time frame for completing this job responsibility?**
  
3. **Interpersonal behaviors and personal traits required to provide high quality service and perform this job responsibility successfully?**
  
4. **How would you differentiate the outcome or finished product for this job responsibility?**

**Outstanding**

**Successful**

**Needs improvement**

**IV. Job Responsibility** \_\_\_\_\_

- 1. Primary customers/main contacts for this position?**
  
- 2. Time frame for completing this job responsibility?**
  
- 3. Interpersonal behaviors and personal traits required to provide high quality service and perform this job responsibility successfully?**
  
- 4. How would you differentiate the outcome or finished product for this job responsibility?**

**Outstanding**

**Successful**

**Needs improvement**

**V. Job Responsibility**\_\_\_\_\_

- 1. Primary customers/main contacts for this position?**
  
- 2. Time frame for completing this job responsibility?**
  
- 3. Interpersonal behaviors and personal traits required to provide high quality service and perform this job responsibility successfully?**
  
- 4. How would you differentiate the outcome or finished product for this job responsibility?**

**Outstanding**

**Successful**

**Needs improvement**

**VI. Job Responsibility**\_\_\_\_\_

- 1. Primary customers/main contacts for this position?**
  
- 2. Time frame for completing this job responsibility?**
  
- 3. Interpersonal behaviors and personal traits required to provide high quality service and perform this job responsibility successfully?**
  
- 4. How would you differentiate the outcome or finished product for this job responsibility?**

**Outstanding**

**Successful**

**Needs improvement**

**Employee Signature**\_\_\_\_\_ **Date**\_\_\_\_\_

**Supervisor Signature**\_\_\_\_\_ **Date**\_\_\_\_\_

## Appendix D

# AURARIA HIGHER EDUCATION CENTER EMPLOYEE PERFORMANCE APPRAISAL PLAN

Level of Performance definitions is as follows:

**NI= 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.

- Results achieved DO NOT MEET the requirements of the job on MOST performance expectations.

**S= Successful** - 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.

**C=Commendable** This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, 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

**O= 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.

## SECTION A. PERFORMANCE REVIEW FACTORS

**CUSTOMER SERVICE:** Strives to satisfy customer needs. Offers appropriate and innovative solutions to customer problems. Works closely with customers to promote good public relations.

**EXPECTATIONS:** Projects a positive image by contributing to the mission and goals of AHEC and division while helping customers (students, staff, faculty and the public). Asks a question, reviews records, obtains other information to find out what a customer really needs. Understands the services and requirements of AHEC as they apply to customer expectations/requests. Follows through to implement service willingly and in a timely manner.

**MEASURES:**

Outstanding:

Commendable:

Successful:

Needs Improvement:

**INTERPERSONAL SKILLS:** Maintains positive work relationships. Uses common courtesy techniques. Works through conflicts for positive outcomes. Accepts and adapts to change.

**EXPECTATIONS:** Is cooperative and sensitive to the needs of others. Anticipates the needs of others and prepares others to deal with upcoming situations. Make sincere attempts to understand and appreciate the viewpoint, circumstances, work and communication styles, backgrounds, abilities, etc., of others. Is able to adapt to the needs of others and interact effectively within a diverse community. Learns from conflict and adapts appropriately. Works to identify common goals and objectives and seeks to understand differences.

**MEASURES:**

Outstanding:

Commendable:

Successful:

Needs Improvement:

**TEAMWORK:** Cooperates with co-workers and contributes to team objectives. Demonstrates personal responsibility for work performance. Provides assistance to co-workers to achieve departmental goals. Makes suggestions to improve work performance.

**EXPECTATIONS:** Exhibits willingness to help and cooperate with others. Seeks to understand other positions and areas of responsibility in an effort to identify ways to help others and understand the impact of one's actions on others. Acts in ways that facilitate the smooth operation of AHEC and the achievement of overall team goals and objectives.

**MEASURES:**

Outstanding:

Commendable:

Successful:

Needs Improvement:

**COMMUNICATION:** Clearly expresses self verbally and in writing. Listens attentively to others and seeks to understand. Keeps others informed and solicits ideas.

**EXPECTATIONS:** Demonstrates good judgement of what to say and when to say it. Solicits and provides timely, constructive feedback to others. Maintains confidentiality when appropriate. Responds promptly to requests and inquires.

**MEASURES:**

Outstanding:

Commendable:

Successful:

Needs Improvement:

**RELIABILITY:** Observes established work hours. Observes annual/sick leave requirements. Communicates with supervisor regarding unscheduled absences. Attend meetings as requested.

**EXPECTATIONS:** Is regularly punctual and observes scheduled work hours. Plans absences and communicates in advance to supervisor and peers whenever possible. Reports unscheduled absences as early as is possible.

**MEASURES:**

**SAMPLE ONLY!**

*Outstanding: Time sheets do not need to be corrected by supervisor and are turned in without prompting by the supervisor. Consistently follows established call in procedures. Is tardy no more than once a quarter.*

*Successful: Time sheets do not need to be corrected more than twice a year. Does not show a pattern of abuse of leave. Provides appropriate medical documentation when requested. Usually follows established call in procedures. Is typically on time for work.*

*Needs Improvement: Time sheets frequently need to be corrected more than three times per year. Shows a pattern of abuse of leave. Typically does not follow established call in procedures. Is frequently late for work. Does not always provide appropriate medical documentation when requested.*

**PERFORMANCE MANAGEMENT AND DEVELOPMENT\* (FOR EVALUATION OF SUPERVISORS ONLY):** Ensures that employees have the information necessary to perform job.

Provides employees with written job description and sets clear performance expectations. Provides employees with on-going feedback about job performance. Evaluates employee based upon established performance expectations. Identifies and utilizes employees' strengths and abilities. Identifies and supports training and development opportunities that will increase employee's job performance. Delegates appropriate responsibilities to employees in order to promote their professional development.

**EXPECTATIONS:** Determines and provides employees with the information/resources they need in order to do their jobs successfully. Collaborates with employees to develop accurate job descriptions and understandable performance expectations. These expectations are the basis for performance appraisal and development. Provides clear, timely, constructive feedback. Meets with employees' quarterly to formally discuss employees' job performance and development. Seeks employee input and completes the employees' annual evaluation. Provides appropriate training and challenges to employees based upon knowledge of their skills and abilities. Identifies appropriate training and development opportunities; and plans departmental work to ensure employee participation in training and development activities on the job and outside the office.

**MEASURES:**

Outstanding:

Commendable:

Successful:

Needs Improvement:

## **AURARIA HIGHER EDUCATION CENTER PERFORMANCE APPRAISAL PLAN**

### **SECTION B. JOB SPECIFIC REVIEW FACTORS**

These Factors apply to specific responsibilities as identified in the Job Analysis. Complete as many as appropriate for this position.

**JOB RESPONSIBILITY #1:**

**EXPECTATIONS:**

MEASURES:

Outstanding:

Commendable:

Successful:

Needs Improvement:

**JOB RESPONSIBILTY #2:**

EXPECTATIONS:

MEASURES:

Outstanding:

Commendable:

Successful:

Needs Improvement:

**JOB RESPONSIBILTY #3**

EXPECTATIONS:

MEASURES:

Outstanding:

Commendable:

Successful:

Needs Improvement:

**JOB RESPONSIBILITY #4**

EXPECTATIONS:

MEASURES:

Outstanding:

Commendable:

Successful:

Needs Improvement:

**JOB RESPONSIBILTY #5**

EXPECTATIONS:

MEASURES:

Outstanding:

Commendable:

Successful:

Needs Improvement:

**JOB RESPONSIBILTY #6**

EXPECTATIONS:

MEASURES:

Outstanding:

Commendable:

Successful:

Needs Improvement:

**ADDITIONAL COMMENTS AND RECOMMENDATIONS:**

1. Supervisor Comments:

Supervisor signature \_\_\_\_\_

Date \_\_\_\_\_

2. Employee Comments:

I have reviewed this plan and have been given the opportunity to discuss it with my supervisor.

Employee signature \_\_\_\_\_ Date \_\_\_\_\_

Appendix E

**AURARIA HIGHER EDUCATION CENTER  
ANNUAL PERFORMANCE APPRAISAL SUMMARY REPORT**

Employee Name	Employee SSN	Supervisor Name
Position#	Year	

Level of Performance definitions is as follows:

**O = 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 supervisor, higher-level management and others can readily recognize such a level of performance.

**C = Commendable** – This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, 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.

**S = Successful**—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.

**NI = Needs Improvement** – This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plans 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 successful rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

A. CORE COMPETENCIES	4/1-9/30	10/1-3/31	FINAL
Customer Service			
Interpersonal Skills			
Communication			
Accountability			
Teamwork (Optional)			
Management/Supervision (Managers and Supervisors only)			
B. JOB KNOWLEDGE	4/1-9/30	10/1-3/31	FINAL
Responsibility #1			
Responsibility #2			
Responsibility #3			
Responsibility #4			
Responsibility #5			
Responsibility #6			

<b>C. OVERALL RATING</b>			
<b>D. REVIEW PERIOD INITIALS</b>	<b>4/1-9/30</b>	<b>10/1-3/31</b>	<b>FINAL</b>
<b>Supervisor Initials</b>			**
<b>Reviewer Initials</b>			**
<b>Employee Initials</b>			**

See reverse side to complete the final appraisal

## ANNUAL PERFORMANCE APPRAISAL SUMMARY REPORT

Additional Comments and Recommendations: (Supervisor - Please indicate the date and quarter for all comments)

### \*\*FINAL APPRAISAL SIGNATURES

---

Supervisor Signature

Date

---

Reviewer Signature

Date

I have reviewed this appraisal and have been given the opportunity to discuss it with my supervisor.

I have reviewed this appraisal, been given the opportunity to discuss it with my supervisor, and have attached a response.

---

Employee Signature

Date

Appendix F

**AURARIA HIGHER EDUCATION CENTER  
MULTIPLE RATER FEEDBACK**

**Common Behavioral Factors**

	<u><b>IN</b></u>	<u><b>S</b></u>	<u><b>C</b></u>	<u><b>O</b></u>
<b>INTERPERSONAL RELATIONS</b>				
Exhibits these traits toward others:				
Helpful	___	___	___	___
Respectful	___	___	___	___
Cooperative	___	___	___	___
Responsive	___	___	___	___
Courteous	___	___	___	___
Sincere	___	___	___	___
Tactful	___	___	___	___
Approachable	___	___	___	___
Maintains good working relationships	___	___	___	___
Is open to new ideas and different points of view	___	___	___	___
Accepts criticism	___	___	___	___
Handles conflict constructively	___	___	___	___
Is on time to meetings, does not keep others waiting	___	___	___	___
Does not spread gossip/rumors about others in the work place	___	___	___	___

**NI=Needs Improvement    S=Successful    C =Commendable    O=Outstanding**

**Page Two**  
**Common Behavioral Factors**

	<u>NI</u>	<u>S</u>	<u>C</u>	<u>O</u>
<b>CUSTOMER SERVICE</b> <b>(Customers include clients, co-workers, employees, and supervisors)</b>				
Shows a positive attitude toward serving customers	___	___	___	___
Determines, respects, and promptly responds to customer needs (Knows what is expected)	___	___	___	___
Keeps in touch with customers and keeps them informed	___	___	___	___
Is innovative and resourceful in meeting customers needs	___	___	___	___
Keeps commitments and meets expectations (Includes meeting deadlines and effective follow-up)	___	___	___	___
Maintains a professional appearance, demeanor, and image	___	___	___	___

**COMMUNICATION**

Responds promptly to inquires and requests	___	___	___	___
Listens well to others/customers	___	___	___	___
Solicits and gives ideas/opinions	___	___	___	___
Keeps others informed	___	___	___	___
Provides timely, specific feedback	___	___	___	___
Clearly expresses self verbally and in writing	___	___	___	___
Demonstrates good judgement of what to say and when to say it	___	___	___	___
Maintains confidentiality when appropriate	___	___	___	___

**NI=Needs Improvement    S=Successful    C=Commendable    O=Outstanding**

**Page Three**  
**Common Behavioral Factors**

	<u><b>NI</b></u>	<u><b>S</b></u>	<u><b>C</b></u>	<u><b>O</b></u>
<b><u>TEAMWORK</u></b>				
Contributes to good staff morale	—	—	—	—
Works well with others and is a team player	—	—	—	—
Shows commitment to the organization	—	—	—	—
Speaks/represents the agency in a positive way in public	—	—	—	—
Shows initiative and actively solves problems	—	—	—	—
Meets commitments on time	—	—	—	—
Carries an appropriate share of the team's workload	—	—	—	—
Takes initiative to help/support others	—	—	—	—
Demonstrates a strong work ethic	—	—	—	—

**NI=Needs Improvement    S=Successful    C=Commendable    O=Outstanding**

**AURARIA HIGHER EDUCATION CENTER  
MULTIPLE RATER FEEDBACK**

**Employee Appraisal of Supervisor**

<b><u>FACTORS FOR RATING SUPERVISORS</u></b>	<b><u>NI</u></b>	<b><u>S</u></b>	<b><u>C</u></b>	<b><u>O</u></b>
Is a good motivator of employees	___	___	___	___
Is a team builder	___	___	___	___
Promotes employee morale	___	___	___	___
Challenges and encourages employees to improve	___	___	___	___
Teaches and trains employees as appropriate	___	___	___	___
Supports, coaches, defends, and mentors employees	___	___	___	___
Delegates duties/tasks appropriately	___	___	___	___
Gives clear directions and expectations	___	___	___	___
Involves employees in developing performance plans in a timely manner	___	___	___	___
Provides timely feedback to employees	___	___	___	___
Completes employee performance appraisals on time and with sufficient documentation	___	___	___	___
Leads by example	___	___	___	___
Holds employees accountable/responsible	___	___	___	___
Manages employees' workload	___	___	___	___
Responds effectively to employee issues/concerns	___	___	___	___

**NI=Needs Improvement    S=Successful    C=Commendable    O=Outstanding**

