

Colorado Department of Public Safety

Performance Management Program

Updated: September 2014

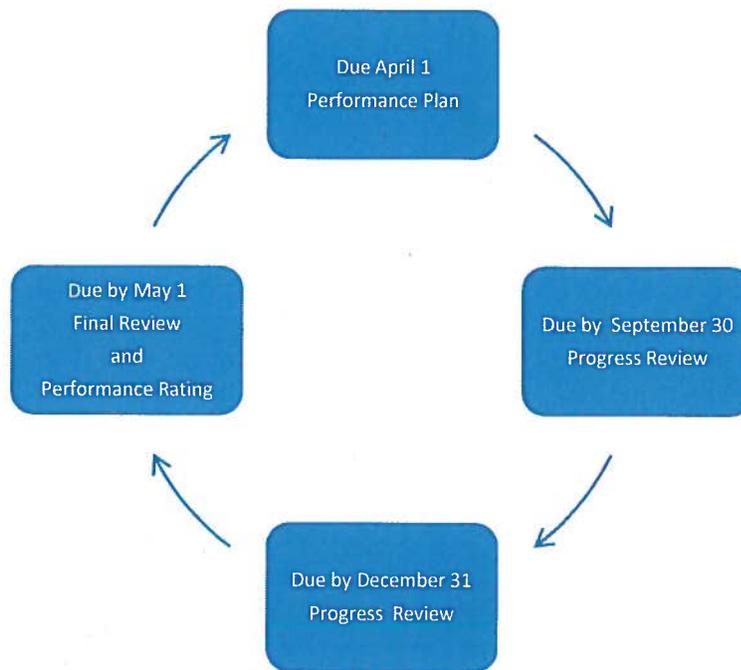


Performance Management Program

There are several parts to the Performance Management Program (PMP):

- I. Performance Planning
- II. Performance Progress Reviews
- III. Final Performance Review
- IV. Final Performance Rating

All classified CDPS employees will receive performance plans, progress reviews and ratings as described in this document according to the annual CDPS PMP cycle. **The cycle is April 1 through March 31.** The timeline follows.



Note: For new employees, a performance plan is due within 30 days of hire.

I. Performance Planning (due by April 1 of each year)

The performance plan is an interactive process that establishes the performance expectations for the performance cycle. During the planning meeting, supervisor and employee discuss the goals, objectives and expectations for the performance period. The supervisor provides counsel regarding the level of performance expected, rating criteria, and goals for the performance period. The supervisor also provides counseling to the employee relative to such topics as advancement, specialization or training appropriate to the employee's position.

After the planning discussion, the supervisor will review the completed PMP form with the employee for comment and acknowledgement of receipt (signature). The supervisor sends a copy of page 1 of the signed performance management form to Human Resources at cdps_hr@state.co.us.

The performance plan discussion establishes clear expectations of the unit and the employee. It is used to set priorities and to evaluate progress and performance. The components of the plan and the discussion are:

- Unit Work Plan
- Position Description
- Maximum of 2 Individual Performance Objectives (IPOs)
- Competencies
- Professional Development

Unit Work Plan - Supervisor and employee discuss the unit work plan, how the unit plan supports the Department goals, and how the employee's work supports the success of the unit and Department. A unit work plan may change throughout the performance period due to changing business needs.

Position Description (PD) – A discussion of the position and expectations should be included in the performance planning discussion. The information in the PD determines the classification and pay range for the position. Any significant updates and changes should be discussed with a CDPS Human Resources specialist.

IPOs – Supervisor and employee jointly develop a **maximum of 2 IPOs** for the first performance period. As the IPOs may relate to longer-term goals, each IPO can be adjusted during the progress reviews. The supervisor and employee will provide comments about progress, obstacles or changes in priorities during the progress reviews.

IPOs should be **SMART**: **S**pecific; **M**easureable, **A**chievable; **R**ealistic; **T**ime-bound.

Competencies - Discuss expectations as they relate to each competency area and the importance of each. It is important that the employee and supervisor have a mutual understanding of performance standards and how they will be evaluated. There are four (five for supervisors/managers) Statewide Core Competencies that all state employees are required to be evaluated on, they are: Communication; Interpersonal Skills; Customer Service; Accountability/Job Knowledge; and, if applicable, Supervision/Management. Supervisors will be evaluated on their performance management and evaluation of employees. These core competencies cannot be disregarded in the final overall rating for any employee.

Professional Development – Professional development may include coursework, shadowing, cross-training, special assignments and other activities. The activities may relate to the current position or a position to which the employee aspires. This section is voluntary, and the employee should not be evaluated based on professional development activities.

Failure to Complete a Performance Plan

Sanctions will be imposed for failure to provide an employee with an annual performance plan by April 1 (or within 30 days of employment) according to Personnel Board rules. If a supervisor does not provide a plan, the supervisor's supervisor is responsible for completing the plan.

II. Performance Progress Reviews (due for Periods 1 and 2, and Period 3 in conjunction with final review)

The performance cycle is April 1 through March 31.

Supervisors are required to conduct three progress reviews:

Performance Period	Review Due
April 1-August 31	September 1
September 1-November 30	December 1
December 1-March 31	May 1

As business needs and conditions change, so do plans. When changes affect the unit work plan or the employee's PMP, the supervisor should document the changes on the PMP form and discuss with the employee. The supervisor will send a copy of page 1 with initials for each review to Human Resources at cdps_hr@state.co.us.

Special Note: For CSP and CBI written progress reviews are required for all entry-level probationary employees at least quarterly.

Discussion

- Review **unit work plan** and any changes.
- Review and adjust **PMP form** as needed.
- Review **IPOs**. Supervisor provides written evaluation, adjustments and comments based on the interactive discussion. If objectives have been reached, supervisor and employee develop additional objectives (up to 2 maximum).
- Discuss **competencies**. Supervisor provides written evaluation, adjustments and comments based on interactive discussion.
- Review **Professional Development** plan. Provide comments from employee and supervisor.

The interactive progress review discussion should be thorough enough so that there are no surprises at the final evaluation.

Ratings

The evaluation is qualitative with numeric ratings. During each progress review, the supervisor gives the employee a rating (1, 2- 2, 2+ 3) for each competency area based on performance and information provided by the employee. The supervisor provides written comments related to the ratings and the employee is encouraged to do the same. The final review is based on performance across the 3 performance periods. The rating level descriptions are below.

Level 3 (Exceptional): This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Level 3 members 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. A Level 3 employee provides a model for excellence and helps others to do their jobs better. Peer, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Level 2 (Successful): This rating level encompasses a range of expected performance. It includes members who are successfully developing in the job; members who exhibit competency in work behaviors, skills, and assignment, 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 member who reliably perform the job assigned and may even have a documented impact beyond the regular assignments and performance objectives that directly supports the mission on the organization.

Note: Supervisor may provide a rating of 2-, 2, or 2+ to indicate where the employee's performance falls in the spectrum of the "Successful" level.

Level 1 (Needs improvement): This rating level encompasses those members who performance does not consistently and independently meet expectations set forth in the performance plan, as well as those members 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. A level 1 rating will result in a performance improvement plan or corrective action.

Training

Updates and training materials/classes regarding the performance management plan will be made available to all employees. Documented Performance Management Program training is required for all new raters. The training will be provided by authorized and trained CDPS staff. All CDPS raters must receive documented training prior to administering CDPS performance management plans, conducting CDPS progress reviews or providing final CDPS performance ratings. Documentation of rater training will be maintained by CDPS Human Resources.

Rater training will include:

- Performance Planning as related to job duties, performance standards and expectations, department and unit work plans and core competencies
 - SMART Individual Performance Objectives and Goals
 - Performance coaching
 - Progressive counseling
 - Documentation
 - Progress Reviews
 - Performance Ratings
 - Fair and consistent evaluation and Errors to Avoid
 - Forms and Timelines
 - Dispute Resolution
-

Evaluation criteria

Supervisors will ensure that employee ratings use criteria for performance evaluation that are specific to the assignment of the employee during the rating period. When identifying the rating, supervisors should consider:

- How well and how consistently the employee performs according the Position Description
- How the employee performs the competency requirements
- Input from customers, other leaders, the employee
- IPO progress

Comments should be clearly documented as related to the specific competency area or goal. Comments should be clear and should include observable facts. Supervisors will be evaluated by their managers regarding the quality of the ratings given to the supervisor.

Because they are out of the ordinary, ratings for both level 3 and level 1 require clear documentation and sufficient evidence for the rating. A performance improvement plan should be issued in conjunction with or prior to a level 1 rating.

Continuous feedback - Informal feedback should be continuous throughout the year. Coaching and mentoring is important when managing employee performance. While the reviews are conducted and documented for each performance period, supervisors are expected to provide ongoing feedback.

III. Final Performance Review (review and rating due by May 1)

All employees will be evaluated, in writing, at least annually based on performance. The supervisor meets with the employee to review performance information. *A final rating is not given to the employee until after the recommended rating is confirmed by the reviewer.* The final rating recommendation requires a review of all performance period reviews and additional relevant performance data accumulated throughout the evaluation period. The information should be used as appropriate to support the final rating recommendation for each competency area and goal. There will be no quotas for the number of employees allowed to receive any of the performance ratings.

After meeting with the employee and reviewing all relevant information, the supervisor assigns recommended ratings and comments, and then meets with the reviewer to receive approval for the recommended ratings. Designated raters will be evaluated on their performance management and evaluation of employees.

Performance and Merit Pay

The State provides merit increases to drive results, retain talent and recognize employee performance. Merit pay is subject to annual appropriations and legislative approval of funding. All State classified employees are eligible for a merit increases based on their individual performance. Merit increases are based on each employee's performance rating and location within their respective pay range.

Reviewer's Role

The reviewer is the next person in the supervisory chain. The reviewer will determine whether the recommended rating is the final rating. The final rating should represent the information and recommendation provided by the employee's supervisor. The reviewer will review the ratings and documentation provided for all employees within the reviewer's larger area of responsibility to ensure consistency of rating between supervisors and will sign each employee form reviewed. An employee's final performance rating therefore reflects the relative performance of the employee as judged by the supervisor and the reviewer. This process takes advantage of the reviewer's broader organizational perspective of performance derived from overseeing multiple organizational units.

The reviewer functions in a quality control role ensuring that performance ratings reflect valid difference in performance levels, and not differences resulting from rating scale differences used by different supervisors.

Appointing Authority Role

Ultimately, the appointing authority is responsible for maintaining quality control over the performance management process. Part of this quality control is to ensure the equity and fairness of employee ratings across all units reporting to the appointing authority. In the event of a disagreement among supervisor and manager regarding an employee's final performance rating, the appointing authority determines the rating.

Performance Rating

Once the rating is determined and the PMP form has been signed by the supervisor and reviewer, a meeting is scheduled with each employee for his or her review and signature. During the meetings, the supervisor will counsel the employee with regard to the results of the performance rating; give the employee the opportunity to sign and make written comments to supplement the completed performance evaluation; and provide the employee a copy of the evaluation.

Note: The final review must be completed and forwarded to Human Resources @ cdps_hr@state.co.us no later than May 1.

Records Retention

CDPS HR will retain performance evaluations and associated documentation in the employee personnel file for three years. Only authorized persons including supervisors, and managers; legal representatives; and, hiring authorities with written authorization by employee may view performance evaluations and associated documentation. These authorized persons may view performance rating reports and associated documentation by request to Human Resources. Human Resources staff will manage and monitor the process.

Failure to Complete a Performance Review

Absent extraordinary circumstances, sanctions will be imposed for failure to provide an employee with an annual performance review according to Personnel Board rule (6-5). If a supervisor does not provide a review, the supervisor's supervisor is responsible for completing the review.

Special Circumstances

Separation from CDPS – No evaluation/rating is required for retirees. Final ratings should be issued for transfers out of CDPS and other separations.

Interim ratings – There are no interim ratings.

Employee changes position within CDPS – The supervisor notes the change in status and performance comments (if any) on the PMP form and forwards to Human Resources at cdps_hr@state.co.us. Human Resources staff works with the receiving supervisor to ensure that performance management is appropriately transferred. The receiving supervisor meets with the employee to develop or update performance expectations and to document the discussion on the PMP form.

Employee unable to sign final rating – Supervisor should contact HR for assistance if an employee is unable to sign final rating due to leave or other circumstances.

Employee refuses to sign – Supervisor should note on the form that the employee refuses to sign. The supervisor's rating stands unless the employee successfully challenges the rating following the dispute resolution process.

Employee disagrees with final rating – An employee can provide a comment on the PMP form. The rating stands unless the employee successfully challenges the rating following the dispute resolution process.

Rating Errors to Avoid

Error	Definition
Recency	Allowing a recent event to disproportionately affect the employee's overall performance rating.
Central Tendency	Rating all employees in the center of the performance spectrum.
Halo/Horns	Allowing a single good or bad aspect of an employee's performance to affect all others.
Strictness or Leniency	Rating all employees too low or too high
Personal Bias	Rating an employee on factors unrelated to job or on a circumstance beyond the employee's control

Performance Improvement Plan

A Performance Improvement Plan (PIP) is a process that is documented on the PIP form to formalize improvements needed for the employee to perform successfully. A PIP is also completed to document improvement needed when an employee receives a “needs improvement” during the performance year on one of the objectives or competency areas. The supervisor records behaviors and actions that necessitate the improvement, and steps and expectations for the future. The employee and supervisor should meet to discuss the plan. The PIP is kept in the supervisor’s file and is not included in the official personnel file. A PIP is not a substitute for a corrective action.

Corrective Action

Responsibility for administering corrective actions is vested with the appointing authority. The appointing authority may delegate responsibility for administering corrective actions via written documentation to subordinate managers. The delegated authority must advise non-probationary employees in writing whenever performance is deemed to be unsatisfactory and that written notification must be provided to the employee in a timely manner. Written notification of unsatisfactory performance is not immediately required in the event that notification could compromise an on-going investigation.

A corrective action is written in memo or letter format. It is the first, formal phase of the progressive counseling process and is intended to direct needed improvement of an employee’s performance or behavior. Corrective Actions do not adversely affect an employee’s current base pay, status, or tenure and are often administered after prior performance counseling with an employee has failed to achieve the desired results.

It is not necessary for the appointing authority to meet with an employee prior to administering a corrective action; however, a meeting may be appropriate because it allows the appointing authority and employee an opportunity to discuss the problem in-depth and to clarify corrective measures the employee must take. It also allows an opportunity for the appointing authority to obtain from the employee, any mitigating information.

An employee may grieve a corrective action. A copy of the Corrective Action is kept in the employee’s official personnel file.

Dispute Resolution

CDPS encourages resolution of disputes at the lowest level. The purpose of the process is to resolve disputes concerning performance management that may arise between supervisor and employee. The process is not a grievance or appeal.

What can be disputed?

- The individual final overall performance evaluation, including lack of a final overall performance evaluation
- The application of the Department's performance management program to the individual employee's final overall evaluation

What cannot be disputed?

- The content of the Department's performance management program
- Matters related to funds appropriated
- The performance evaluations and merit pay of other employees

There are two stages of Dispute Resolution: Internal Stage and External Stage. Only issues originally presented in writing at Step 1 of the CDPS Internal Dispute Resolution process will be considered throughout the resolution process.

Internal Dispute Resolution Process

1. The employee initiates a performance dispute discussion in writing with supervisor within 5 work days of receipt of final performance evaluation. The discussion between supervisor and employee must be held within 5 work days of dispute notification. Supervisor and employee may or may not agree to make changes to the evaluation.
2. If not satisfied with the result of the discussion with the supervisor, the employee may initiate a performance dispute in writing with reviewer within 5 work days after the discussion with the supervisor. Only the issues originally presented in the discussion with the supervisor may be considered throughout the dispute resolution process. The reviewer will respond within 5 work days of dispute notification.
3. If not satisfied with the reviewer's decision, the employee may initiate a performance dispute in writing, with the next level in the chain of command. Only issues originally presented in the discussion with the supervisor may be considered throughout the dispute resolution process. The decision maker will respond within 5 work days of dispute notification. If the dispute concerns the final rating, the decision rests at this level.

External Dispute Resolution Process

An Employee who is dissatisfied with the decision resulting from the internal dispute resolution process may proceed to the external stage administered by the Director of the Department of Personnel and Administration. The employee may dispute only the original issues involving the application of the CDPS performance management program. *Final rating may not be disputed in the External process.*

The employee must submit the dispute in writing within 5 work days following the conclusion of the CDPS internal dispute resolution process.

The dispute must include:

- Employee name, address, and telephone number
- Specific action disputed including information about the action in the CDPS plan not followed
- Statement giving the reason for the dispute
- Documentation supporting the dispute
- Copy of the CDPS final decision from the Internal Dispute phase (or notice that CDPS failed to provide decision)
- Specific remedy sought

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

Disputes must be sent to:

State Personnel Board
Attn: Appeals Processing
1525 Sherman Street, 4th Floor
Denver, CO 80203
FAX- 303.866.5038

Performance Management Form

Colorado Department of Public Safety

Performance Cycle: to

EMPLOYEE INFORMATION

Employee Name: EID:

Division: Unit/Team:

Rater(s)/Title(s):

Reviewer(s)/Title(s):

PERFORMANCE PLANNING (due by April 1st or within 30 days of appointment)

I agree disagree with plan

Employee Signature: _____ Date:

Rater Signature: _____ Date:

PROGRESS REVIEWS (update and/or add IPO's and attach documentation at each review date)

1st Date (by 9/30): Employee Initials: _____ Rater Initials: _____

2nd Date (by 12/31): Employee Initials: _____ Rater Initials: _____

3rd Date (by 5/1): Employee Initials: _____ Rater Initials: _____

OVERALL EVALUATION (due to HR no later than May 1st)

Final Rating:

Type of Rating

I agree disagree with evaluation

Employee Signature: _____ Date:

Rater Signature: _____ Date:

Reviewer Signature: _____ Date:

Rating Levels (Definitions):

LEVEL 3 (Exceptional)*:

This rating represents **consistently exceptional and documented** performance or consistently superior achievement beyond the regular assignment. Level 3 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. Level 3 employees provide a model for excellence and help others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

*Additional written justification required

LEVEL 2 (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 assignment; 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.

LEVEL 1 (Needs Improvement)*

This rating level encompasses those members 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.

*Performance Improvement Plan or Corrective Action must be completed. DO NOT ATTACH CORRECTIVE ACTION TO THIS FORM.

Part I: Core Competencies

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

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 CDPS.

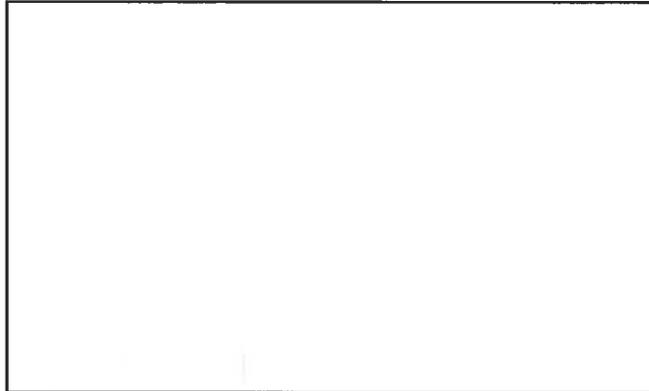
-Listens and responds to others appropriately.

-Provides accurate, complete, and timely information, both written and verbal.

-Adapts communication methods to respond to different audiences.

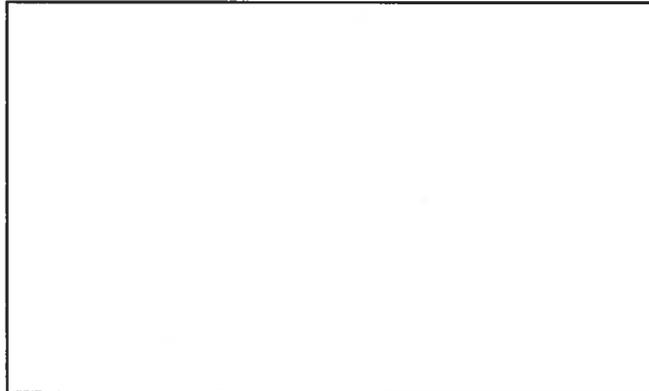
-Builds trust and respect through communication and takes initiative to encourage timely communication among others.

Period 1 Plan and
Results



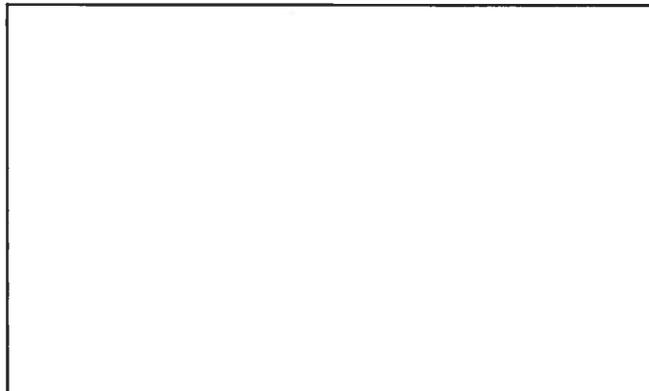
P1
Rating

Period 2 Plan and
Results



P2
Rating

Period 3 Plan and
Results



P3
Rating

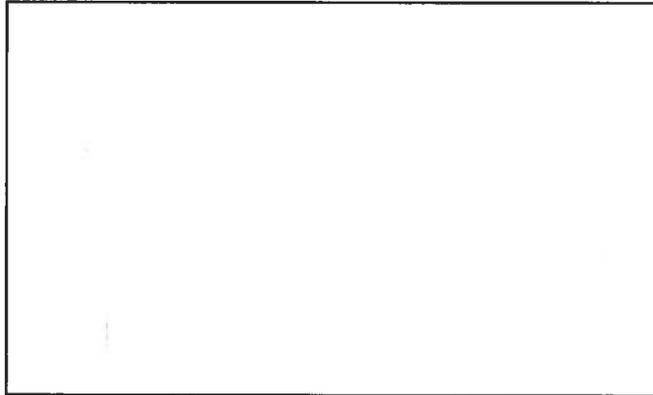
Part I: Core Competencies (Continued)

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

Accountability/Job Knowledge: Demonstrates responsible personal and professional conduct that contributes to the overall goals and objectives of CDPS. Skilled in job-specific knowledge that is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.

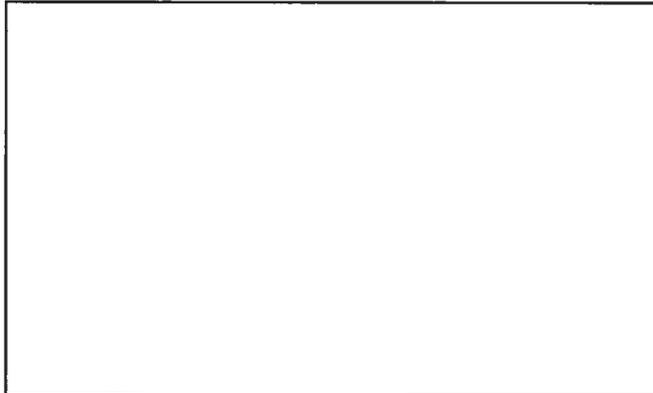
- Shows personal and professional pride in work.
- Displays a high degree of honesty and integrity.
- Conveys a positive professional image of CDPS.
- Follows policies, procedures, and rules to contribute to a positive, productive, and safe work environment.
- Shares knowledge with co-workers and shares opportunities to increase knowledge of relevant job skills.

Period 1 Plan and
Results



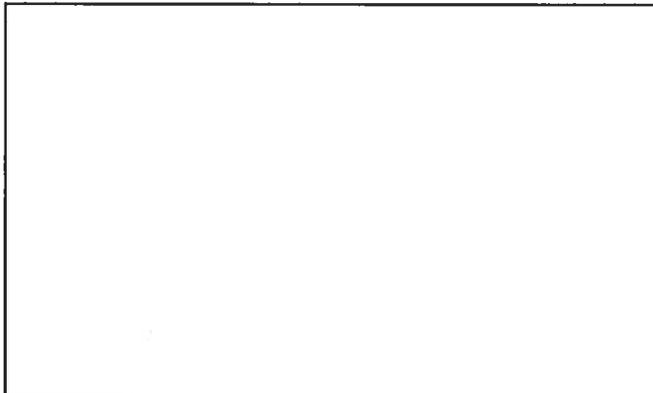
P1
Rating

Period 2 Plan and
Results



P2
Rating

Period 3 Plan and
Results



P3
Rating

Part I: Core Competencies (Continued)

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

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.

- Treats other 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.

Period 1 Plan and
Results

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P1
Rating

Period 2 Plan and
Results

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P2
Rating

Period 3 Plan and
Results

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P3
Rating

Part I: Core Competencies (Continued)

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

Supervision/Management (for all State Employees who supervise one or more employees): Demonstrates ability to make appropriate, timely, logical decisions using all available information and assesses the potential impact on employees and CDPS.

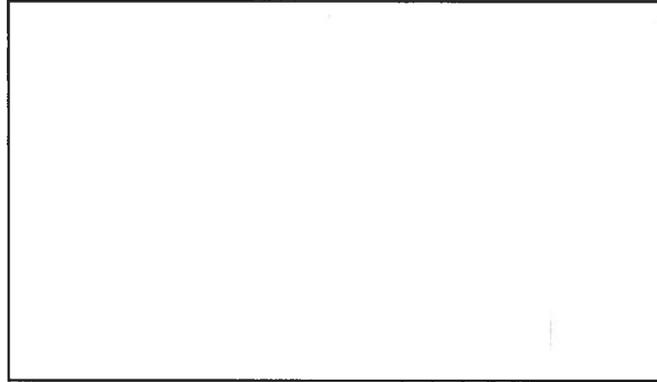
-Develops, positively influences, motivates, and challenges subordinates

-Adapts leadership style to a variety of situations.

-Plans, supports, and provides assistance, resources, and direction in accomplishing objectives.

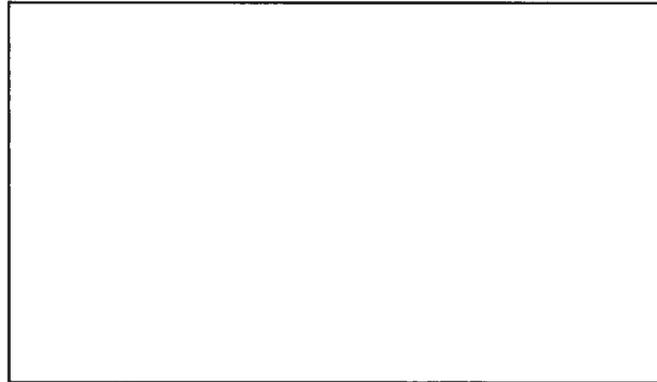
-Encourages growth through managed delegation that challenges employees to grow in both skill and understanding of responsibilities within their position.

Period 1 Plan and
Results



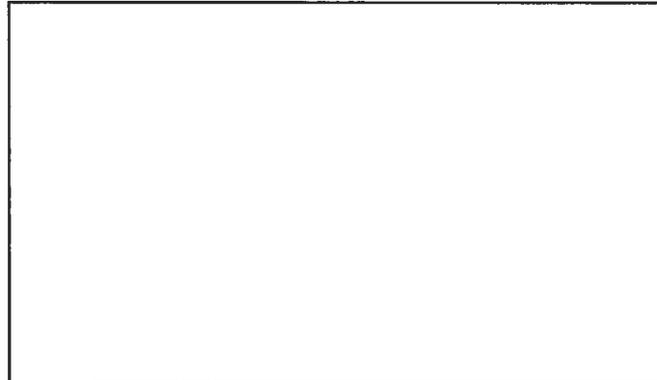
P1
Rating

Period 2 Plan and
Results



P2
Rating

Period 3 Plan and
Results



P3
Rating

Part II: Individual Performance Objectives

Period 1 IPO (1 of 2)

Comments and Results

Rating

Period 1 IPO (2 of 2)

Comments and Results

Rating

Period 2 IPO (1 of 2)

Comments and Results

Rating

Period 2 IPO (2 of 2)

Comments and Results

Rating

Period 3 IPO (1 of 2)

Comments and Results

Rating

Period 3 IPO (2 of 2)

Comments and Results

Rating

Part III: Professional Development (optional)

Instructions: This section is not rated. This section is to provide the employee with the opportunity to express personal and professional goals that are not necessarily related to their current position.

Professional
Development Goals

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Employee Comments

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Rater Comments

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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 (IPO's) and behavior (Core Competencies)

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 5 working days from the date of the event to resolve the dispute informally with the supervisor. See Performance Management Program Document for additional information on the dispute resolution process.

Employee Comments:

Rater Comments: