



**COLORADO
DEPARTMENT OF EDUCATION**

**COLORADO SCHOOL FOR
THE DEAF AND THE BLIND**

**PERFORMANCE MANAGEMENT
PROGRAM**

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COLORADO DEPARTMENT OF EDUCATION
COLORADO SCHOOL FOR THE DEAF AND THE BLIND

PERFORMANCE MANAGEMENT PROGRAM

INTRODUCTION

The Colorado Department of Education / Colorado School for the Deaf and the Blind are dedicated to the concept of a performance driven culture.

The Colorado Department of Education / Colorado School for the Deaf and the Blind Performance Management Program is dedicated to focus the measures of employee performance on the mission/vision statements of the department, which are:

"The Colorado Department of Education dedicates itself to increasing achievement levels for all students through comprehensive programs of education reform involving three interlocking elements:

1. *High Standards for what students must know and be able to do;*
2. *Challenging Assessments that honestly measure whether or not students meet standards and tell citizens the truth about how well our schools serve children; and*
3. *Rigorous Accountability Measures that tie the accreditation of school districts to high student achievement."*

And

"The Colorado School for the Deaf and the Blind is the center of excellence for specialized statewide, high-quality, educational services supporting data-driven decisions that are best for each individual."

Performance plans for all classified staff shall align with the mission(s) of the department, and will identify the performance objectives and measurement standards expected of each individual employee. Supervisors and employees are encouraged to engage in collaborative efforts throughout the performance management process, in an effort to achieve a successful performance management program.

The Colorado Department of Education / Colorado School for the Deaf and the Blind Performance Management Program, consistent with system-wide requirements, consists of three components detailed in full ...

- Performance Management
- Achievement Pay
- Dispute Resolution

PERFORMANCE MANAGEMENT

1. The Colorado School for the Deaf and the Blind (CSDB) performance management program, including the dispute resolution component, must be approved in advance by the State Personnel Director.
2. Appointing authorities and designated raters of the Colorado School for the Deaf and the Blind are responsible for communicating the performance management component to their employees.
3. Employee performance plans will align with the Colorado School for the Deaf and the Blind goals and objectives.
4. Beginning with the performance cycle on April 1, 2007 (for achievement pay payable on July 1, 2008), performance will be rated based on three levels and the definitions provided:

Exceptional (E), Level 3

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 (S), Level 2

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 (NI), Level 1

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 level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.

5. Core competencies are observable, measurable patterns of knowledge, skills, abilities, behaviors, and other characteristics required for successful performance in work roles or occupational functions, regardless of level, occupation, or work unit. The uniform core competencies must be incorporated into every employee's performance plan and considered during every employee's evaluation, and cannot

be disregarded in the final overall rating for each employee. The uniform, statewide core competencies defined by the State Personnel Director are:

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

The Colorado School for the Deaf and the Blind will use a Pass/Fail overall rating for the competencies, but each individual competency may be rated using the three rating levels mentioned in Item 4 above.

6. The performance management cycle is designated as *April 1st through March 31st*.
7. Appendix A contains the employee performance evaluation form that will be utilized to manage the performance of all classified Colorado School for the Deaf and the Blind staff.
8. A planning session between the supervisor and the employee, along with the written performance plan must be completed by *April 30th* of each fiscal year. A copy should be forwarded to the Human Resources Office for compliance monitoring purposes.

Also, an employee performance plan will be completed within 30 days of an employment action; e.g., appointment, promotion, demotion, etc.

9. A documented progress review to include coaching and feedback must be completed by *September 30th* of each year. On-going coaching and feedback are strongly encouraged for more effective performance management.
10. The Colorado School for the Deaf and the Blind will use qualitative ratings that convert to one of the three established rating levels: Needs Improvement (NI), Successful (S) or Exceptional (E).
11. In order to receive an overall rating of EXCEPTIONAL, the final evaluation must document / demonstrate that the employee *consistently exhibited exceptional performance or superior achievement beyond the regular assignment, as per the rating level definition in Item 4.*
12. For any overall rating of EXCEPTIONAL, an internal review process to monitor/ensure the quality and consistency of ratings department-wide must be completed *prior to giving the final rating to the employee.* Employee Performance Evaluation Forms must be forwarded to the Human Resources Office, and the internal review process shall be completed cooperatively by the Superintendent, the Human Resources Office, and the supervisor.
13. An overall performance rating of NEEDS IMPROVEMENT shall result in a performance improvement plan or a corrective action. A reasonable amount of time must be given to improve performance, unless the employee is already under corrective or disciplinary action for the same performance matter. A performance improvement plan is not a corrective action. If performance remains unsatisfactory at the time of reevaluation under a performance improvement plan, a written corrective action shall be issued. Subsequently, if performance remains unsatisfactory at the time of reevaluation under a

corrective action, the appointing authority may take disciplinary action, up to and including demotion or termination. In an effort to encourage supervisors to act more immediately on employee performance issues, supervisors may wish to consider performance improvement plans and/or corrective action in advance of a Needs Improvement performance rating in order to give an employee the opportunity to improve their performance prior to final evaluation.

14. Colorado School for the Deaf and the Blind classified staff will be evaluated, in writing, by March 31st of each year. An evaluation shall also be completed when a classified employee resigns their position with the Colorado School for the Deaf and the Blind, or if an employee moves to a position under another appointing authority or department (interim evaluation), and forwarded to the Human Resources Office within 30 days of the employment action. Interim evaluations will be forwarded to the new appointing authority or department.
15. The Colorado School for the Deaf and the Blind will not establish quotas or forced distribution processes for determining the number of department-wide ratings in any of the three performance levels.
16. Supervisors are encouraged to consider outside sources in the evaluation of employees.
17. Teamwork may be measured as a component of an individual's performance plan.
18. The next higher level must review a supervisor's evaluation of an employee's performance.
19. If a supervisor fails to plan and/or evaluate an employee's job performance, the appropriate Reviewer / appointing authority is responsible to ensure the completion of the plan and/or evaluation. If the reviewer fails to plan and/or evaluate in a timely manner, the reviewer's supervisor is responsible for completing the plan and/or evaluation and on up the chain of command until the plan/and or evaluation is completed.
20. If a performance rating is not given, the default evaluation shall be Successful (Level 2), until a final rating is completed. The default evaluation will be used for achievement pay purposes, and adjustments made after dispute settlement.
21. An executive committee, designated by the Superintendent of the Colorado School for the Deaf and the Blind or designee, will review the quality of the Department of Education's program, which will lead to greater consistency of ratings and incentives.

TRAINING AND COMMUNICATION

1. To ensure the implementation of a successful performance management program, all supervisors must be trained in the department's performance management program. Supervisors are responsible for communicating the department's performance management process to employees. In addition, training opportunities will be made available to all staff.

Colorado School for the Deaf and the Blind Human Resources staff will provide an overview of the Performance Management Program to all new employees.

2. Various types of on-going training opportunities and resource tools will be developed and utilized to ensure that supervisors and staff receive vital information that is necessary to prepare employees for continuing changes related to the performance management program.

Through traditional classroom training, distribution of printed materials, e-mail communication, group meetings, mentor relationships, one-on-one discussion/feedback, etc., employees at all levels within the department will acquire a working knowledge concerning all aspects of the Colorado School for the Deaf and the Blind Performance Management Program including but not limited to the following...

- Vision/Mission Statement, Core Values
- Line of Sight
- Performance Management, including development of performance objectives and measurement standards utilizing the SMART model
- Communication within the performance management process, including coaching / feedback and additional training to improve performance
- Supervisor Accountability
- Performance-Based Pay
- Dispute Resolution Processes

As necessary and/or appropriate, statewide resources will be utilized to support departmental training efforts; e.g., DPA/DHR.

3. Communication is absolutely vital to the success of the Performance Management Program, and will be encouraged on an extensive basis in an effort to establish opportunities for dialogue on issues of critical importance to supervisors and employees.

ACCOUNTABILITY

1. All supervisors (classified and non-classified/at-will) must have a provision / objective in their performance plan that measures and evaluates their effectiveness related to the performance management of their employees.
2. Absent extraordinary circumstances, failure by any supervisor (classified or non-classified/at-will) to provide timely plans and evaluations in accordance with established timelines will result in a written corrective action and ineligibility for achievement pay. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the designated rater may be disciplinarily suspended in increments of one workday, following a pre-disciplinary meeting. This does not require

that the supervisor's overall performance rating be Needs Improvement; however, supervisors who fail to complete the performance management cycle are not eligible for an Exceptional performance rating.

Colorado School for the Deaf and the Blind Human Resources staff will monitor supervisory compliance and provide the appropriate appointing authority with relevant information within 15 (fifteen) days of established timelines, absent extraordinary circumstances.

3. Supervisors (classified or non-classified/at-will) who fail to complete the **performance management cycle** (i.e., planning, coaching/feedback, evaluation) could be subject to the following existing sanctions: suspension without pay, ineligibility for achievement pay, demotion, or other disciplinary action as deemed appropriate by the appointing authority.
4. DPA/DHR and the Colorado School for the Deaf and the Blind will monitor the imposition of sanctions in an effort to build credibility with employees, communicate the importance of performance management and increase the accountability of supervisors.

ACHIEVEMENT PAY

1. Compensation system guidelines are established and applied statewide, with the Colorado School for the Deaf and the Blind Performance Management Program incorporated into the application of the system boundaries.
2. The annual total compensation survey will be conducted according to statute.
3. For purposes of the state's achievement pay system, a pay range (grade) will be defined as the range of base salary between a minimum and maximum amount set for a specific class, based on the current compensation plan. Individual salaries vary within the ranges depending on individual movements.
 - a.) Employees move up the range through base-building achievement pay. Base-building achievement pay is permanent, shall not exceed the pay grade maximum, and is paid as regular (base) salary from the effective date forward. New employees have the same base-building opportunity as current employees based on their performance.
 - b.) Non-base building achievement pay is allowed for Exceptional performance ratings only. The non-base achievement pay is calculated on base salary after any annual compensation adjustments. Non-base building achievement pay shall be paid as a one-time lump sum amount in July of each year, and must be earned each performance cycle.
4. The source of funding (e.g., cash or general), method of funding (e.g., appropriated or memorandum of understanding), and length of state service / longevity shall not be utilized as criteria for distinguishing between base and non-base building achievement pay.
5. Achievement pay (base building and non-base building) will be a percentage of salary effective on the statewide common date of July 1st.
6. Beginning July 1, 2007, prior to the payment of achievement pay, the State Personnel Director shall specify and publish the percentage base and non-base achievement pay for all performance levels

according to available statewide funding. Achievement pay is subject to the appropriation of funding by the State Legislature. Employees will be notified of achievement pay percentages for all performance levels annually.

7. Beginning July 1, 2007, any permanent employee is eligible for achievement pay, as provided below. The adjustment is based on the final overall performance rating.
 - a) If the final overall performance rating is Needs Improvement, the employee is ineligible for any achievement pay.
 - b) If the final overall performance rating is other than Exceptional, but not Needs Improvement, the employee is eligible to receive base-building achievement pay, up to the maximum of the pay range. Any portion of the payment that would cause base pay to exceed the (pay) grade maximum shall not be paid. If base pay is at (pay) grade maximum or in saved pay above the maximum, the employee is ineligible for any achievement pay.
 - c) If the final overall performance rating is Exceptional / Level 3, the employee is eligible to receive non-base building achievement pay (in addition to base-building achievement pay). Employees rated as Exceptional are also eligible to receive any remaining portion of base-building achievement pay that exceeds pay grade maximum as a one-time non-base lump sum payment in the July payroll.
 - d) Achievement pay shall not be denied because of a corrective or disciplinary action *issued for an incident after the close of the previous performance cycle*.
 - e) Payments are effective on July 1st. The employee must be employed on July 1 to receive payment of achievement pay; the employee's current department as of July 1 is responsible for payment. Employees hired in the state personnel system during the performance cycle are eligible to receive the full percentage of base and non-base achievement pay on July 1st (based on the overall performance rating received).

DISPUTE RESOLUTION - REFER TO APPENDIX B

FIRST-YEAR TRANSITION (HISTORICAL INFORMATION)

An individual, employee-based annualization process will be used to move all employees from an anniversary to a common evaluation and pay cycle. Performance awards for each level of performance would be specified as a percentage of base salary. In the first year of program implementation, this percentage would be calculated by first determining the performance award percentage as in any other year. Each individual's actual dollar performance award would then be calculated based on their anniversary date. In subsequent years, this calculation would not be necessary because the funding available for performance awards will not be limited by the need to annualize anniversary increases.

THE BUDGETING PROCESS

A formula has been developed by the Office of State Planning & Budget (OSPB) that is cost neutral, statewide, for budgeting performance awards under the new performance pay system.

IMPLEMENTATION (HISTORICAL INFORMATION)

The first performance awards are targeted for an effective payment date of July 1, 2002. It is anticipated that no anniversary increases will be given after June 30, 2002.

Upon implementation, the performance management cycle is designated as June 1st through May 31st. *Effective June 1, 2005, the Department of Education / Colorado School for the Deaf and the Blind will transition to the first statewide performance cycle, which will end March 31, 2006. All subsequent performance cycles shall be April 1st through March 31st.*

Upon implementation, a planning session between the supervisor and the employee, along with the written performance plan must be completed by June 30th of each fiscal year. At CSDB, planning sessions/performance plans for employees on academic-year appointments must be completed by September 30th. *Beginning with the 2006-2007 performance cycle, planning sessions/performance plans for all Department of Education employees (including CSDB) must be completed by April 30th.*

Upon implementation, a documented progress review to include coaching and feedback must be completed by January 31st of each year. *Beginning with the 2006-2007 performance cycle, documented progress reviews must be completed by September 30th of each year.*

Upon implementation, all Department of Education classified staff will be evaluated, in writing, by May 31st of each year. *Beginning with the 2005-2006 performance cycle, all classified staff will be evaluated, in writing, by March 31st of each year.*

APPENDIX A

**EMPLOYEE PERFORMANCE
EVALUATION FORM**

INSTRUCTIONS FOR COMPLETING THE PERFORMANCE EVALUATION FORM

PLANNING PHASE

Performance plans should be completed within a timely manner; i.e., 30 days from appointment and/or beginning of the fiscal/school year as appropriate.

1. Complete the identification information on the front page. Department mission statements are optional; however, providing the mission statements helps to emphasize the importance of the employee's job performance in supporting the work of his/her department in relation to the organization's vision statement (line of sight).
2. Part I: Performance Objectives/Measurement Standards -- list the performance objectives for the employee to accomplish during the upcoming rating period. Include the standards by which these objectives will be measured. If additional pages are needed, make copies of page 3 and attach to the form.
3. Part II: Core Competencies Inventory -- the supervisor and employee should discuss how each Core Competency applies to the employee's job performance. This section is rated pass or fail; however, supervisors are encouraged to utilize the Performance Rating Scale to describe results. If the employee does not meet basic expectations for any core competency it is rated as fail and the employee may not earn an overall Exceptional performance rating. If the core competencies section rating is fail, the employee may not earn an overall Successful performance rating.
4. Use of the Career Development Plan is optional. If it is used, insert page 6 into the performance plan. The Career Development Plan may be initiated by either the employee or the supervisor, and is used to identify the skills and competencies that the employee may need to reach higher levels of performance and an action plan to acquire these skills. This form is not a corrective action form. Alternatively, the Career Development Plan may be used but not rated.
5. Employees and supervisors may use the Important Events/Significant Occurrences Log to track events throughout the evaluation period, particularly those events which demonstrate "Exceptional" or "Needs Improvement" Performance.
6. The employee and supervisor sign the front of the form under Planning Phase.
7. Forward a copy of the form to the Human Resources Office.

INTERIM REVIEWS/MODIFICATIONS TO THE PLAN

It is important to review (and modify if necessary) the Performance Plan on an ongoing basis throughout the evaluation period. At a minimum, a documented interim review must take place at the mid-way point of the evaluation period (normally at 6 months). The supervisor and employee should review the existing plan and agree on any changes made. No changes may be made without the knowledge of both the employee and supervisor. Complete the section on page 1 when the interim review is done. If changes are made at a time other than at the interim review, enter the date and sign in the space provided on the front of the form.

EVALUATION PHASE

1. Part I: Performance Objectives/Measurement Standards -- the supervisor must comment on the results achieved for each of the performance objectives listed and then select an appropriate level of performance achieved for each objective.
2. Part II: Core Competencies Inventory -- the supervisor should assign a rating for each of the Core Competencies as they pertain to the employee's job and a pass or fail rating for the whole section.
3. If the Career Development Plan is used, score as detailed in Part I. If the Career Development Plan is used but not rated, the supervisor and employee should review and discuss it at the time of the performance evaluation.
4. Transfer the ratings to the corresponding boxes in Part III: Overall Performance Rating.
5. An overall performance rating of EXCEPTIONAL must be adequately supported by narrative contained within the evaluation instrument. An internal review process to monitor and ensure the quality and consistency of ratings department-wide must be completed **prior to giving the final rating to the employee**. Employee Performance Evaluation Forms must be forwarded to the Human Resources Office, and the internal review process shall be completed cooperatively by the Superintendent, the Human Resources Office, and the supervisor. Narrative may also be attached to support the Overall Performance Rating or any of the sections.
6. Transfer the OVERALL PERFORMANCE RATING from Part III to the bottom of page 1 and make sure both the supervisor and employee sign under the Evaluation Phase. Submit to the reviewer(s) for approval and signature.
7. Forward the original evaluation to the Human Resources Office. Copies should be maintained by the supervisor and provided to the employee.

Rating Levels Definitions

Effective for the 2007-2008 Performance Cycle

Definition of EXCEPTIONAL (Level 3)

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.

Definition of SUCCESSFUL (Level 2)

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.

Definition of NEEDS IMPROVEMENT (Level 1)

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 level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.



CSDB

EMPLOYEE PERFORMANCE EVALUATION FORM

CSDB Mission Statement:

The Colorado School for the Deaf and the Blind is the center of excellence for specialized statewide, high-quality, educational services supporting data-driven decisions that are best for each individual.

Department Mission Statement:

Employee Name: _____ Job Class: _____ Position#: _____

Department: _____ Supervisor: _____ Supervisor Position #: _____

PLANNING PHASE: Rating Period: From

I agree disagree with plan (explain disagreement by attaching a written explanation)

Employee Signature: _____ Date: _____ Supervisor Signature: _____ Date: _____

INTERIM REVIEWS:

3-Month Review (optional): Date: _____ 6-Month Review (REQUIRED): Date: _____ 9-Month Review (optional): Date: _____

Employee Initials: _____ Supervisor Initials: _____ Employee Initials: _____ Supervisor Initials: _____ Employee Initials: _____ Supervisor Initials: _____

MODIFICATIONS TO THE PLAN:

Date of change(s): _____ Employee Initials: _____ Supervisor Initials: _____ Date of change(s): _____ Employee Initials: _____ Supervisor Initials: _____

FINAL EVALUATION:

I agree disagree with evaluation (explain disagreement by attaching a written explanation)

Employee Signature: _____ Date: _____ Supervisor Signature: _____ Date: _____

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

OVERALL PERFORMANCE RATING (circle one)

(see "Rating Levels Definitions")

NEEDS IMPROVEMENT

SUCCESSFUL

* EXCEPTIONAL

* (requires completion of internal review process; see Instructions (item #5 under Evaluation Phase))

PERFORMANCE OBJECTIVES	MEASUREMENT STANDARDS	RESULTS	RATING

Attach as many copies of this page as needed to list all Performance Objectives and Measurement Standards.

PART II: CORE COMPETENCIES INVENTORY

Part II Rating (Pass/Fail):

Instructions: Core Competencies are defined as appropriate for each position within each department.

A. * Part II SCORING: This section is rated pass or fail; however, supervisors are encouraged to utilize the Performance Rating Scale to describe results. If the employee does not meet basic expectations for any core competency it is rated as fail and the employee may not earn an overall Exceptional performance rating. If the core competencies section rating is fail, the employee may not earn an overall Successful rating.

PERFORMANCE RATING SCALE:
(see "Rating Levels Definitions")

NEEDS IMPROVEMENT

SUCCESSFUL

EXCEPTIONAL

CORE COMPETENCY	RESULTS	RATING
<p><u>Communication</u></p> <p>Effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and others to appropriately anticipate problems and ensure the effectiveness of the organization.</p>		
<p><u>Interpersonal Skills</u></p> <p>Interacts effectively with others to establish and maintain smooth working relations.</p>		
<p><u>Customer Service</u></p> <p>Works effectively with all individuals who are either internal or external to the organization to satisfy service expectations.</p>		
<p><u>Accountability</u></p> <p>Employee's work behaviors demonstrate responsible personal and professional conduct, which contribute to the overall goals and objectives of the organization.</p>		
<p><u>Job Knowledge</u></p> <p>The employee is skilled in job-specific knowledge that is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.</p>		

PART III: OVERALL PERFORMANCE RATING

The Overall Performance Rating represents the supervisor's assessment of the employee's performance for the entire appraisal 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).

Part I: PERFORMANCE OBJECTIVES/MEASUREMENT STANDARDS <small>Enter Page 2 Rating</small>	Rating
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Part II: CORE COMPETENCIES INVENTORY	PASS	FAIL*
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CAREER DEVELOPMENT PLAN (OPTIONAL)	Rating
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Part III: OVERALL PERFORMANCE RATING (see "Rating Levels Definitions") <small>NOTE: An overall performance rating of EXCEPTIONAL requires completion of internal review process <u>prior to giving the final rating to the employee</u>; see Instructions (Item #5 under <u>Evaluation Phase</u>).</small>	Overall Performance Rating (see "Rating Levels Definitions")
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* If an employee receives a "FAIL" rating on any Core Competency, the employee cannot qualify as an "Exceptional" Performer, regardless of the ratings on other sections. If the core competencies section rating is "FAIL", the employee may not earn an overall "Successful" rating, regardless of the ratings on other sections.

CAREER DEVELOPMENT PLAN (OPTIONAL)

Instructions: The continued growth and career development of all employees is a key aspect of Performance Management. This section should be used to identify competencies that an employee may need to reach higher levels of performance. It may be used to either enhance an employee's capability in his/her current position or to build his/her skills to qualify for a higher or different position. Either the employee or supervisor may list the specific career development actions the employee desires to take, then record the results the employee achieves. During the evaluation period, the supervisor records which actions the employee took and the progress made toward achieving the desired results. Examples of career development plans might include: training classes needed to gain/improve/enhance skills; special assignments; team activities; or on-the-job training.

COMPETENCY	PLANNED DEVELOPMENT ACTIONS	PLANNED RESULTS	ACTIONS TAKEN	RATING

Attach as many copies of this page as needed.

APPENDIX B

DISPUTE RESOLUTION

**COLORADO DEPARTMENT OF EDUCATION
COLORADO SCHOOL FOR THE DEAF AND THE BLIND
PERFORMANCE MANAGEMENT PROGRAM**

DISPUTE RESOLUTION

1. Employees may question certain matters regarding performance plans and ratings through the State Personnel Director's dispute resolution process. The purpose of the dispute resolution process is to create an open and impartial opportunity that allows the parties to have issues heard, and to provide review mechanisms that are fair, consistent, understandable, and timely. Dispute resolution differs from a grievance or an appeal and moves away from a traditionally adversarial system toward one that supports and encourages dialogue and communication to resolve issues. (NOTE: Only performance matters that allege discrimination or have resulted in corrective / disciplinary action may be addressed through the grievance or appeal process.)
2. Only the following matters are disputable under the dispute resolution process:
 - the individual (employee) performance plan, including lack of a plan during the planning cycle;
 - the individual (employee) final overall performance evaluation (or lack thereof);
 - the application of the Department of Education / Colorado School for the Deaf and the Blind Performance Management Program to the individual employee's plan and/or final evaluation.
3. The following matters are not disputable under the dispute resolution process:
 - the content of the Department of Education / Colorado School for the Deaf and the Blind Performance Management Program;
 - matters related to the funds appropriated;
 - the performance evaluations and achievement pay of other employees.
4. Retaliation against any person involved in the dispute resolution process is prohibited.

INFORMAL REVIEW PROCESS

The parties involved are strongly encouraged to extend every effort to resolve disputes informally at the lowest possible level in a timely manner before initiating the dispute resolution process. In other words, employees are encouraged to meet informally with their supervisor and/or the reviewer (second-level supervisor) to reach a mutually agreeable solution within the five-day timeframe for initiating the dispute resolution process. If the dispute cannot be resolved in this manner, the employee has several options; for example ...

- the employee may mark "disagree" on the Performance Evaluation Form, and attach a written narrative detailing the reason(s) for disagreement, including extenuating circumstances, if any;
- the employee may mark "disagree" on the Performance Evaluation Form, and request a meeting with the reviewer (second-level supervisor) to explain the reason(s) for disagreement, and to request reconsideration of the rating; and/or
- the employee may proceed to the dispute resolution process.

THE DISPUTE RESOLUTION PROCESS

No party has an absolute right to legal representation in the dispute resolution process. They may have an ADVISOR present; however, the involved parties are expected to represent and speak for themselves. Advisors must be permanent employees of the State of Colorado. An advisor's role is to assist in the dispute resolution process by explaining the process, helping to identify issues, preparing documents, and/or attending meetings. The involved parties are responsible to notify the Human Resources Office if an advisor will participate in the dispute resolution process.

Only the issue(s) as originally presented in writing shall be considered throughout the dispute resolution process. The formal dispute resolution process shall consist of two (2) stages -- internal and external:

The scope of authority of those individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the Department of Education / Colorado School for the Deaf and the Blind Performance Management Program. Decision-makers shall not substitute their judgment for that of the rater(s), or for the internal decision-makers in the agency if an issue is being reviewed at the external stage. Further, these individuals shall not render a decision that would alter the Department's Performance Management Program. Decision-makers may instruct a rater(s) to:

- follow the Department's Performance Management Program;
- correct errors;
- reconsider an individual (employee) performance plan or final evaluation; or,
- suggest other appropriate processes, such as mediation.

INTERNAL STAGE. A description of this internal dispute resolution process including timelines and name(s) of decision-maker(s) shall be given to all employees annually.

- A. An employee must initiate the departmental internal review process within five (5) working days of the matter in dispute (see Attachment A - Timelines). To initiate the internal review process, the dispute must be detailed in writing and submitted to the Human Resources Office. The Human Resources Office will immediately provide copies of the written dispute to the supervisor, reviewer (second-level supervisor), and Superintendent. Dispute Resolution Forms (Attachment B) are available in the Human Resources Office.

- B. The supervisor is strongly encouraged to file a written response to the employee's dispute within five (5) working days of receipt of same. If applicable, the supervisor's response must be submitted to the Human Resources Office. Copies will immediately be provided to the employee, reviewer (second-level supervisor), and Superintendent.
- C. The Superintendent shall be the decision-maker in the internal dispute resolution process. A neutral Review Committee, appointed by the Superintendent or designee, will be responsible to review employee disputes and to draft the final department decision, for approval by the Superintendent. The Review Committee will serve as process facilitator, fact-finder, and/or limited decision-maker during the course of the review. The Committee will not be responsible to review cases of alleged discrimination / retaliation. (NOTE: Cases of alleged discrimination / retaliation may be addressed through the grievance or appeal process.)
1. "Neutral" means that (members of) the Review Committee ...
 - has no personal stake in the outcome of the review;
 - is not signatory to the performance plan or evaluation; and,
 - conducts reviews of employee disputes in a manner that would lead a reasonable person to conclude that the Review Committee is objective and non-biased.
 2. A Review Committee will consist of Colorado Department of Education / Colorado School for the Deaf and the Blind permanent employees. There will be five (5) standing members as detailed below. Committee members (except for the Human Resources member) may not serve for more than two (2) years. A minimum of three (3) members, one from each category below will participate in the review of an employee dispute.
 - two (2) management-level employees (Classified or At-Will)
 - two (2) classified employee representatives
 - a member of Human Resources management will serve as the Committee Chair.
- D. The Review Committee shall draft/issue a written decision within fifteen (15) working days of receipt of the employee's written dispute, including supervisor's response, if applicable. Upon initial review of the employee's dispute, the Review Committee will:
1. proceed to draft/issue a written decision. The written decision / report should be brief, concise, and minimally contain a summary of the dispute, the information considered, and the written decision, including any additional recommendations; or
 2. determine if a meeting with the employee and supervisor is necessary in order to draft/issue a written decision. Such determination is at the sole discretion of the Review Committee. Should such a meeting take place, it shall be conducted within specified criteria.
 - a. Meeting Timeframes / Format
 - 1) The meeting shall be held within ten (10) working days of receipt of the employee's written dispute.

- 2) The first portion of the meeting will involve clarification of the facts in dispute. The Review Committee may meet with the employee and supervisor individually or together.
 - 3) The final portion of the meeting will involve more detailed fact-finding and an opportunity for the employee and supervisor to reach a mutually agreeable solution.
 - 4) A written decision / report shall be drafted / issued within five (5) working days of the meeting. The report should be brief, concise, and minimally contain a summary of the dispute, the information considered, and the written decision, including any agreements reached or additional recommendations.
- E. The Superintendent shall review the Review Committee's written decision, including any recommendations, for approval, and the final department decision issued to the parties involved within three (3) working days of receipt.
- F. The final department decision on issues involving an individual performance plan (or lack of plan) or evaluation concludes at the internal stage. Employees have no further recourse for resolution of these disputes.
- G. Upon completion of the internal dispute resolution process, employees shall be notified in writing that they may proceed to the External Stage of the dispute resolution process, provided it concerns the application of the Department's Performance Management Program. Such notice must include detailed information on how to initiate the external dispute resolution process.

EXTERNAL STAGE. The State Personnel Director administers this stage. Only those original issues involving the application of the Department's Performance Management Program to the individual performance plan and/or evaluation may proceed to this stage.

- A. An employee may initiate the external review process by filing a written request for review with the State Personnel Director; Attention: Appeals Processing; 1313 Sherman Street, 1st Floor; Denver, Colorado 80203. FAX: (303) 866-2021. Such request must be filed within five (5) working days from the date of the final agency decision. Consolidated Appeal / Dispute Forms and Instructions are available in the Human Resources, and on the Internet at ...

http://www.colorado.gov/dpa/dhr/pubs/dispute_forms.htm

- B. The request for external review shall include a copy of the original issue(s) submitted in writing and the department's final decision.
- C. The State Personnel Director may select a qualified neutral third party to review the matter.
- D. The Director or designee shall issue a written decision that is final and binding within thirty (30) days.

COLORADO DEPARTMENT OF EDUCATION
COLORADO SCHOOL FOR THE DEAF AND THE BLIND
PERFORMANCE MANAGEMENT PROGRAM

DISPUTE RESOLUTION
TIMELINES

- DAY 1 Depends on which of the three matters are in dispute ...
- The date the employee signed or disagreed with the individual performance *plan*; or the date the *plan* should have been in place.
 - The date the employee signed or disagreed with the individual final overall performance *evaluation*; or the date the *evaluation* should have been completed.
 - The date the employee is knowledgeable of the action or practice to be disputed concerning the application of the Department of Education / Colorado School for the Deaf and the Blind Performance Management Program to the individual employee's plan and/or final evaluation.
- DAY 5 Employee must initiate the departmental (internal) stage of the dispute resolution process.
- DAY 10 Supervisor must file a written response to the employee's dispute, if applicable.
- DAY 15 If applicable, a meeting shall be held between the Review Committee, the employee, and the supervisor.
- DAY 20 The Review Committee shall draft / issue a written decision, including any recommendations.
- DAY 23 The final department decision is issued, subsequent to review and approval by the Superintendent.
- Working (business) days, rather than calendar days, are used. The total time for the internal stage of the dispute resolution process, from the date of the initial event / matter disputed to the date the final department decision is issued, could take up to a maximum of 23 working days.
 - In extenuating circumstances, and upon mutual written agreement of all the parties involved, the timeframes during the internal stage of the dispute resolution process may be extended.
- DAY 28 Employee must initiate the external review process.

COLORADO DEPARTMENT OF EDUCATION
COLORADO SCHOOL FOR THE DEAF AND THE BLIND

PERFORMANCE MANAGEMENT DISPUTE RESOLUTION FORM

In order to initiate the departmental internal review process, this form must be submitted to the Human Resources Office within five (5) working days after the occurrence of the performance matter disputed.

EMPLOYEE NAME _____

EMPLOYEE WORK UNIT _____ WORK PHONE _____

ADVISOR NAME (if applicable) _____

ADVISOR WORK UNIT _____ WORK PHONE _____

REASON(S) FOR REQUEST:

- ___ Individual performance plan, including lack of plan. *Attach a copy of the performance plan, if applicable, and a brief statement of the facts.*
- ___ Individual final overall performance evaluation, or lack thereof. *Attach a copy of the performance evaluation and a brief statement of the facts.*
- ___ Application of the department's Performance Management Program to the individual employee's plan and/or final evaluation. *Attach a copy of the performance plan and/or evaluation and a brief statement of how the program was misapplied, including supporting facts.*

INFORMAL REVIEW PROCESS:

Attach a statement describing your efforts to resolve your dispute informally with your supervisor and/or the reviewer (second-level supervisor).

DESIRED OUTCOME: _____

EMPLOYEE SIGNATURE (required): _____ **DATE:** _____

TO BE COMPLETED BY THE HUMAN RESOURCES OFFICE: Date Received: _____

Copies Forwarded (Date): _____
Copies are to be forwarded to the Supervisor, Reviewer, and Superintendent

SUPERVISOR'S RESPONSE: _____ YES (attached) / Date Rec'd _____ NO

The supervisor is strongly encouraged to file a written response to the employee's dispute with the Human Resources Office within five (5) working days of receipt of same. Please include advisor name/work unit/work phone, if applicable.

Copies Forwarded (Date): _____
Copies are to be forwarded to the Employee, Reviewer, and Superintendent

REVIEW COMMITTEE:

List names / titles of committee members.

_____ (Committee Chair)

Written Decision Due (Date): _____
(within fifteen (15) working days of receipt of employee's written dispute)

Meeting Date: _____
(within ten (10) working days of receipt of employee's written dispute)

Met with Employee: _____ Yes _____ No
Met with Supervisor: _____ Yes _____ No

WRITTEN DECISION / REPORT:

Date completed: _____

Must include: Summary of Dispute
Information Considered
Written Decision, including any agreements reached or additional recommendations

SUPERINTENDENT:

Additional Information: _____
Signature Date

FINAL DEPARTMENT DECISION ISSUED TO EMPLOYEE (Date):

cc: Supervisor / Reviewer
Human Resources / Personnel File

NOTIFICATION TO EMPLOYEE OF EXTERNAL REVIEW PROCESS:

The State Personnel Director administers the external review process. Only those original issues involving the application of the Department's Performance Management Program to the individual performance plan and/or evaluation may proceed to this stage.

- An employee may initiate the external review process by filing a written request for review with the State Personnel Director; Attention: Appeals Processing; 1313 Sherman Street, 1st Floor; Denver, Colorado 80203. FAX: (303) 866-2021. Such request must be filed within five (5) working days from the date of the final agency decision. Consolidated Appeal / Dispute Forms and Instructions are available in the Human Resources, and on the Internet at ...
http://www.colorado.gov/dpa/dhr/pubs/dispute_forms.htm
- The request for external review shall include a copy of the original issue(s) submitted in writing and the department's final decision.