

# **Colorado State University**

## **Performance Pay Program User Guide**

**For State Classified Employees and  
Supervisors**

**April 2007**

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# I. OVERVIEW

## **Introduction**

Performance Pay Program (PPP) is a state-mandated program and, as a state institution, Colorado State University is required to implement this program for its state classified employees.

Performance management refers to the process of bringing out the best efforts of people and directing those efforts toward meeting the goals of the University and respective units/departments. It is much more than completing a performance review twice a year; it includes a short-term and long-term focus and incorporates the concepts of coaching, supporting, and developing. Performance management should be viewed as a partnership between a supervisor and an employee.

A good performance management program:

- Drives the organizational culture and strategy by linking employee objectives and behaviors to the organization's strategic focus (vision, strategies, critical success factors and values).
- Includes both the process (the hows) and the outcomes (the whats).
- Inspires employee commitment through participation.
- Includes training in performance management.
- Includes self-evaluation by employees who have an understanding of their place in the organization and their contribution to its success through active participation in the planning process.
- Involves monitoring, coaching and feedback.

Benefits to Colorado State University:

- Committed workforce
- Trained workforce
- Increased retention
- Focus on the organizational mission
- Team/Department participation

Benefits to Employee

- Clarity in job roles and responsibilities
- Ongoing feedback
- Recognition of good performance
- Opportunity for professional growth
- Encourages communication with supervisors

## **History and Legal Requirements**

From 1945 to July 2002, state classified employees with the State of Colorado were paid under a grade and step program. Under that program, salaries were adjusted based on prevailing wages, as determined by a salary survey, and merit increases based on longevity and satisfactory job performance. On September 1, 2000, the State Department of Personnel developed the Performance Pay Program as required by SB211. The Performance Pay Program mandated:

- Development of a performance management program that provided for performance-based pay increases for employees.
- Implementation of performance-based pay by July 1, 2002 for all state classified employees, including state classified hourly employees.

In response, the Colorado State University Performance Pay Program (CSU/PPP) User Guide and forms were created in accordance with State of Colorado statutes, Performance Pay Program guidelines, and Rules and Procedures of the State Personnel System. They were developed with input from CSU employees and members of the PPP Advisory Committee, approved by the administration of Colorado State University, and were intended to be dynamic and flexible to meet the diverse work settings of the University. The initial, and only, payout under the original CSU/PPP was in July 2002.

Due to state fiscal constraints, performance based pay increases for employees were suspended for the 2002 – 2003 performance cycle, which would have otherwise been effective on July 1, 2003.

On May 2, 2004, the state implemented new rules, withdrawing some of the previous authority granted agencies and institutions to develop individualized policies for performance-based increases, performance cycles and performance rating definitions. As a result, performance pay adjustments for July 1, 2004 were required to adhere to the new rules adopted by the state. In November 2004, the state required all performance pay programs, including CSU's, be revised and re-submitted for approval by the state to reflect the new statewide mandates.

Performance based pay increases were not funded for the 2004 – 2005 and 2005 – 2006 performance cycles, which would have been effective on July 1, 2005 and July 1, 2006 respectively.

On July 1, 2006, the State implemented new rules which, among other things, mandated a statewide uniform performance cycle of April 1 through March 31<sup>st</sup>. Further, beginning with the 2007 – 2008 performance cycle, the number of rating levels was reduced from four to three and new standardized performance rating definitions were established. Once again, the state required all performance pay programs, including CSU's, be revised and re-submitted for approval by the state to reflect the new statewide mandates.

## **Colorado State University Performance Pay Program**

Two factors are critical throughout the performance management process: *communication* between supervisor and employee, and *documentation* of planning, reviewing, and evaluating. An employee needs to know about job performance expectations and the supervisor needs to know about problems and new situations encountered by the employee. Both employee and supervisor should document events that affect the performance plan, evaluation, and the factors being evaluated. The forms used for CSU's Performance Pay Program may include narrative sections for this purpose.

CSU Performance Pay Program was designed to be collaborative; that is, employee and supervisor work together on developing the performance program. Here are some alternatives:

- A group of employees with essentially the same duties could develop proposed performance standards/goals/objectives for their job, and then work with their supervisor to refine them;
- The supervisor of such employees could develop standards/goals/objectives and then meet with the group of employees. However, the supervisor must have individual meetings with each employee, and each employee need to understand the terms of the plan and how he/she will be evaluated.

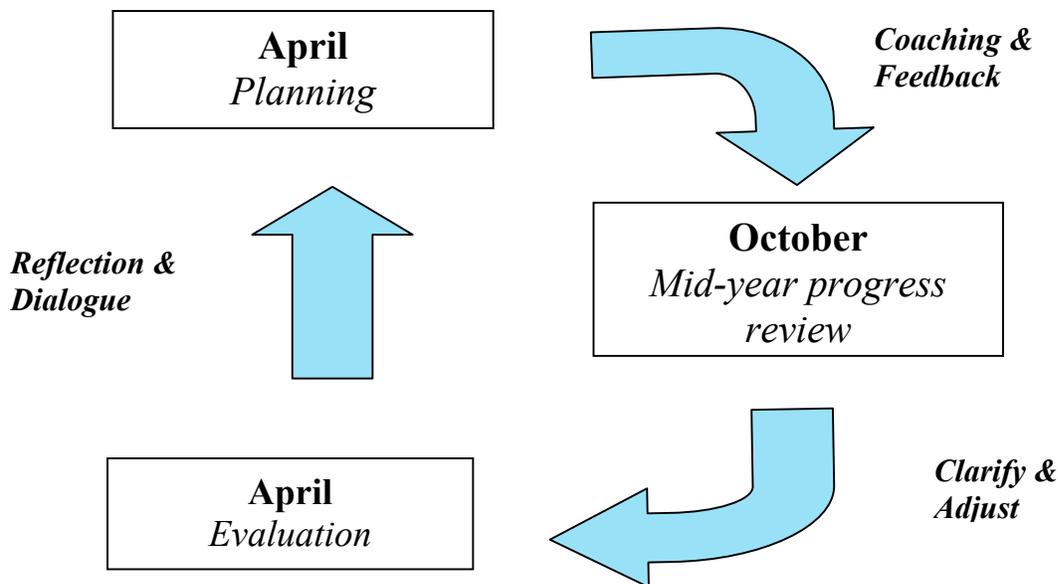
## **Supervisor Training**

Training is required for all supervisors. Accordingly, Human Resource Services provides training on the provisions of the program as outlined in this User Guide, including how to write goals/objectives and evaluate performance. Customized training is also available to individual departments as well as one-on-one consultation with supervisors and employees upon request (refer to Resources, Section IX).

## **Timelines and Reporting Requirements**

All institutional and agency performance management programs for state classified employees throughout the state must adhere to a uniform planning and evaluation timeline. The Performance Pay Planning and Evaluation Cycle is April 1 through March 31 each year.

### **Performance Pay Program Cycle**



Performance awards are finalized and processed through the payroll system for July 1 implementation. Base building performance awards, up to pay grade maximum, are permanent and paid as regular salary. If the final overall rating is exceptional (Level 3), any portion of the base building award that exceeds pay grade maximum is paid as a one-time lump sum in July.

## II. CSU'S PERFORMANCE MANAGEMENT PROGRAM FORMS

There are three forms used in CSU's Performance Management Program.

### 1. Planning Confirmation and Overall Evaluation Form

State rules require that employees be evaluated in writing annually based on the past year's performance. The Planning Confirmation and Overall Evaluation Form (Appendix A) documents the overall process. This form is used to capture information at each relevant point during the performance cycle, including the appropriate signatures and the dates the plan is established, the mid-year progress review takes place, and the final overall evaluation occurs. It contains the state mandated performance rating level definitions, which are uniform for all state classified employees throughout the state. The final overall rating, as recorded on the completed Planning Confirmation and Overall Evaluation Form, must be entered into the Personnel /Payroll System and the Form must be forwarded to Human Resource Services Department by April 30 of each year, or by an alternate date as specified by the Director of Human Resources. **This form is required by HRS, and cannot be customized or altered.** Departments retain all other planning and evaluation documents. The overall performance evaluation rating section must include employee, supervisor, and reviewer signatures

### 2. Planning and Evaluation Forms for Standards/Goals/Objectives and Core Competencies

**Every employee must be evaluated in the state mandated core competency areas** (Appendix B), currently defined as:

- Job Knowledge/Potential
- Communication/Verbal and Written
- Interpersonal Relations
- Customer Service
- Accountability
- Supervision/Performance Management (required for state classified supervisors)

Departments may include additional competency areas as deemed appropriate.

Departments may design and use their own documents for communicating and measuring departmental standards, goals and objectives along with the required core competencies. Departments may use numeric or qualitative evaluations as long as these evaluations translate into one of the three required definitions of overall performance rating levels contained on the mandatory Planning Confirmation and Overall Evaluation Form.

Example Planning and Evaluation Forms containing core competencies and departmental standards, goals and objectives are included in Appendix C. Departments may use these forms or modify them to meet department needs. Departments should refer to the outline in Section III, Planning Process, for additional information.

### 3. Dispute Resolution Form

The CSU Performance Pay Dispute Resolution Form is used by an employee who wishes to dispute the performance evaluation process (Appendix D). Further details regarding the dispute resolution process can be found in section VII of this guide.

### III. PLANNING PROCESS

Employee Performance plans should be completed during the month of April. Plans are effective for one year, but may be modified during the year as deemed appropriate. Modifications must be clearly communicated as soon as possible to the employee. For new employees, a performance plan should be created within 30 days of the date of employment.

Also, employees who have received promotions, or have been assigned different duties, should have performance plans created or modified as soon as possible after the change of duties.

#### **Review the Position Description Questionnaire (PDQ)**

All active positions in the classified personnel system at Colorado State University have a Position Description Questionnaire (PDQ) on file in Human Resource Services. There also should be one on file in the department where the position resides. The PDQ is an important human resource management document. It describes the duties and responsibilities of the position; establishes the essential elements of the position for Americans with Disabilities Act purposes; is the primary document for determining job classification; and, sets the pay range for the position.

To be successful, the Performance Pay Program relies on each position having a current and accurate PDQ. Thus, before any performance planning can be done, the employee and supervisor should carefully review the PDQ to ensure that it describes the duties and responsibilities of the position and that there is a clear understanding of the work assignment.

#### **Link to the University, Department and Work Unit Mission**

A major component of the Performance Pay Program is the relationship of an employee's duties to the missions of the campus and work unit. The underlying philosophy is that employees must understand how they fit into the functions and activities of the organization, and the link between their position and the organization's purpose. These should be made clear during the planning process. Question 2 from the first page of the PDQ, "The purpose of this position is..." should help provide such linkage.

Departments or work units should include the statement of their mission in the planning and evaluation instrument to underscore the employee's role in Department.

## **Colorado State University Vision, Mission and Values:**

The Board of Governors of the Colorado State University System adopted the following vision, mission and values statements on April 5, 2005.

### **A. The Vision** that inspires us:

The Colorado State University System will be the premier system of public higher education in the nation.

### **B. The Mission** that guides our decisions:

#### **System Mission:**

The Colorado State University System is committed to excellence, setting the standard for public higher education in teaching, research, and service for the benefit of the citizens of Colorado, the United States, and the world.

#### **CSU Mission:**

Inspired by its land-grant heritage, Colorado State University is committed to excellence, setting the standard for public research universities in teaching, research, service and extension for the benefit of the citizens of Colorado, the United States, and the world.

### **C. The Values** that support our operating practices:

Be ACCOUNTABLE

Promote CIVIC RESPONSIBILITY

Employ a CUSTOMER FOCUS

Promote FREEDOM OF EXPRESSION

Demonstrate INCLUSIVENESS and DIVERSITY

Encourage and reward INNOVATION

Act with INTEGRITY and MUTUAL RESPECT

Provide OPPORTUNITY and ACCESS

Support excellence in TEACHING and RESEARCH

## **Planning Process-Details**

Every component of the Performance Pay Program is intended to foster communication. The most important component of the planning process is the planning meeting. Other components involve the detailed work of completing the Planning Section of the Performance Pay System Planning Confirmation and Overall Evaluation Form.

### **Steps:**

1. Prepare for the meeting by gathering the necessary materials – a copy of the Position Description Questionnaire (PDQ), the User Guide, the Performance Pay Program System Planning Confirmation and Overall Evaluation and Planning and Evaluation forms (including state mandated core competencies).
2. The supervisor is encouraged to discuss the employee performance plan with the reviewer as part of the planning process.
3. Prior to the meeting, both supervisor and employee review the PDQ for accuracy and adequacy, review the User Guide and the forms, consider the past performance period, and think about standards/goals/objectives for the future.

4. During the meeting, supervisor and employee discuss the PDQ, future standards/goals/objectives, methods of measure, and what will distinguish Level 2 performance from Level 3 performance. The Core Competencies should also be discussed as they relate to effective performance, as well as any training and development activities that may occur during the appraisal period.
5. Following the meeting, the supervisor is responsible for refining the discussion and preparing the employee plan using the Planning Confirmation and Overall Evaluation Form. The performance plan is completed with a meeting between the supervisor and the employee when the form is finalized, signed, and dated. The supervisor initials the box regarding the accuracy and adequacy of the PDQ. Any changes can be written on the form. The supervisor files the original signed plan in appropriate departmental or personal files and the employee is given a copy.
6. The planning meeting must be documented in the Personnel/Payroll System by recording the date of the meeting, as reflected on the Planning Confirmation and Overall Evaluation Form.

## **Writing Standards/Goals/Objectives**

Standards/Goals/Objectives are written statements that should:

- State an important and measurable outcome that when accomplished will help assure success
- Be set within each accountability area
- Concentrate on outcomes, not activities
- Be concise
- Encompass significant components of the job
- Be limited to no more than 3 – 7 items
- Be fully communicated to the employee

In writing standards/goals/objectives, keep the following model in mind S.M.A.R.T. GOALS:

**Specific** – they precisely define the work involved

**Measurable** – quantitative, qualitative, and timely

**Agreed** – both supervisor and employee are committed

**Realistic** – an acceptable but stretching challenge

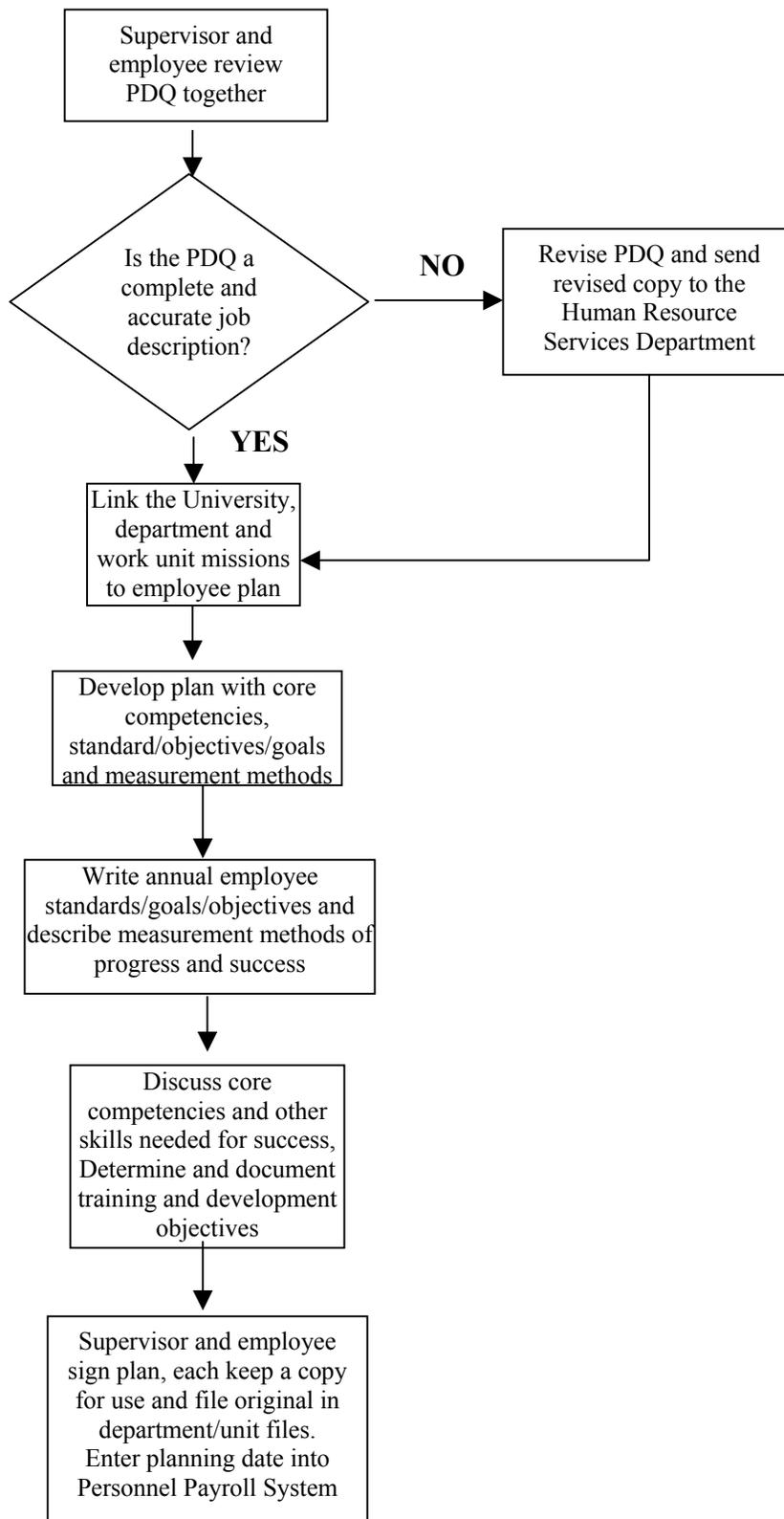
**Timed** – specify completion and review dates

There are five types of standards/goals/objectives:

- Those that strive to achieve/measure routine work assignments
- Those that are intended to resolve identified problems
- Those that support innovation
- Those that encourage professional development
- Those that support specific institutional or departmental goals

The sample Planning and Evaluation Forms (Appendix C) include a section titled “Training and Development Programs”. This section has space for identifying training programs and activities that assist employees in acquiring knowledge and skills necessary for success on the job. Careful consideration should be given to any new assignments for the position requiring orientation or training, any areas of weakness in the preceding evaluation, or any areas that would be appropriate for developmental training. When this section is completed, the supervisor is agreeing that time or opportunity will be made available for the employee to attend the program, and the employee is agreeing to learn and apply the skills or knowledge. Successful completion of the training programs can be incorporated into a standard/goal/objective.

# Performance Planning Steps



## IV. COACHING, FEEDBACK AND PROGRESS REVIEW

Coaching, feedback and progress reviews are critical components of performance management. Both supervisor and employee are responsible for the success of performance management.

### Coaching tips for supervisors:

- Hold periodic, ongoing reviews with each employee. Do not limit interactions to the annual planning, mid-year review, and evaluation meetings.
- Acknowledge good performance immediately.
- Address problems immediately, and do not postpone addressing them until the annual evaluation meeting.
- Observe and record specific notable examples of performance whenever they occur. Provide specific feedback, not vague, general observations. Document both good performance as well as poor performance.
- Keep communications open and frequent. Ask employees about their feelings and perceptions regarding their performance, and respond to their input.

### Feedback can be both positive and corrective. Communicate both. The key elements of effective feedback are:

- Timely: It is as immediate as possible
- Specific: It is detailed and descriptive.
- Behaviorally based: It addresses behavior, not character, motivation or personality
- Balanced: It acknowledges positive behavior as well as opportunities for improvement.
- Actionable: It is something upon which the receiver actually has the ability to effect change.

### Some feedback tips:

- Present constructive feedback as a portion of the larger context rather than in isolation.
- Avoid the use of global statements such as ‘always/never’ and ‘everyone/no one’.
- Use ‘and’ rather than ‘but’. ‘But’ tends to negate what came before.
- Replace ‘should’ and ‘have to’ with reasons why.
- Own your feeling. Describe emotions with ‘I feel’ rather than ‘You make me feel’.
- Be very careful about projecting feelings onto others. ‘You make John angry...’
- Stick to what happened and the results of what happened with a clear focus on future performance. ‘This is what happened, this was the result, what can we do to improve on it?’
- When dealing with defensiveness, re-focus on the commitment. Don’t get caught in the accusation, blame, defense loop.
- Clear questions and careful listening is often a good way to move past strong emotions.
- Give concrete examples of what the employee has done; positive and negative. Provide examples to demonstrate that you are paying attention and are committed to recognizing their positive as well as negative results.
- Review your approach before you speak to the employee. First, how would you feel or respond if you heard this news.

**Keep in mind, we get the behavior we reward; therefore avoid rewarding the wrong behavior.**

## **Mid-Year Progress Review Meeting**

The Mid-year progress review is an opportunity to provide performance related feedback to employees, adjust performance plans if necessary, and clarify performance expectations.

1. Prepare for the meeting. Review the employee's performance plan and PDQ, your notes and records, letters and memos from others, and examples of the employee's work.
2. Meet with the employee. Discuss the employee's progress towards meeting or exceeding the performance standards, goals and objectives established in the employee's performance plan, and identify areas where improvement may be necessary. Discuss performance in the "core competency" areas mandated by the state.
3. Adjust the performance plan or clarify expectations if necessary.
4. Complete the Mid-Year Progress Review section of the Planning Confirmation and Overall Evaluation Form. Sign the form and secure the employee's signature. Give a copy to the employee and keep this document in your department until completion of the performance cycle and final evaluation.
5. The mid year progress review meeting must be documented in the Personnel/Payroll System by recording the date of the meeting, as reflected on the Planning Confirmation and Overall Evaluation Form.

## **V. EVALUATION PROCESS**

Performance evaluation is the process of assessing and summarizing the work performance of an employee.

### **Purpose of the Evaluation Process**

- Provide Feedback and Input
- Provide a Basis for Coaching
- Provide a Basis for Employee Training and Development
- Improve Employee Performance
- Provide a Basis for Awards

### **Evaluation Preparation**

#### **Review PDQ and Work Record**

Before meeting with the employee, review the PDQ and work record for the evaluation cycle. Obtain performance feedback from people with whom the employee has worked, including direct reports, if appropriate. Where customer service is a key part of the job, feedback from customers may be solicited. Gathering information from other sources should be discussed with the employee as part of the planning process. Review prior performance evaluations and the mid-year progress review. It is helpful for the employee to prepare a brief summary of his/her main accomplishments and successes.

If the employee reported to more than one supervisor during the evaluation period, consult with the other supervisor for input on the evaluation (see Transfers, Section VI). Before including any information in an evaluation that indicates there is a performance problem, ask the previous supervisor if the information about the problem has been shared with the employee and obtain any documentation about the issue.

## **Complete The Evaluation**

### **Supervisors must secure approval from the designated reviewer prior to finalizing performance evaluations with employees.**

The written part of the performance evaluation process includes completing the Performance Evaluation Process section of the Planning Confirmation and Overall Evaluation Form. In so doing, consider the following:

1. How does the level of performance compare with performance standards for this competency, behavior, task, goal, or initiative?
2. How was the level of performance confirmed? What did you see the employee doing or not doing? What do analytical reports or work products show? What information or feedback did you get from co-workers, customers, or other sources?
3. How has the employee demonstrated the behaviors associated with the core competencies?
4. Has the employee been evaluated using measures that are appropriate to the assignment, regardless of whether these measures are objective or subjective?
5. What were the consequences, results, or impact of the performance?
6. Is there a gap between your evaluation and the employee's? What significance is placed on the employee's self-evaluation? How do you account for the difference, if any?

The feedback collected during the course of the review period should substantiate the rating for each performance factor. Supervisors are expected to be objective in assigning ratings.

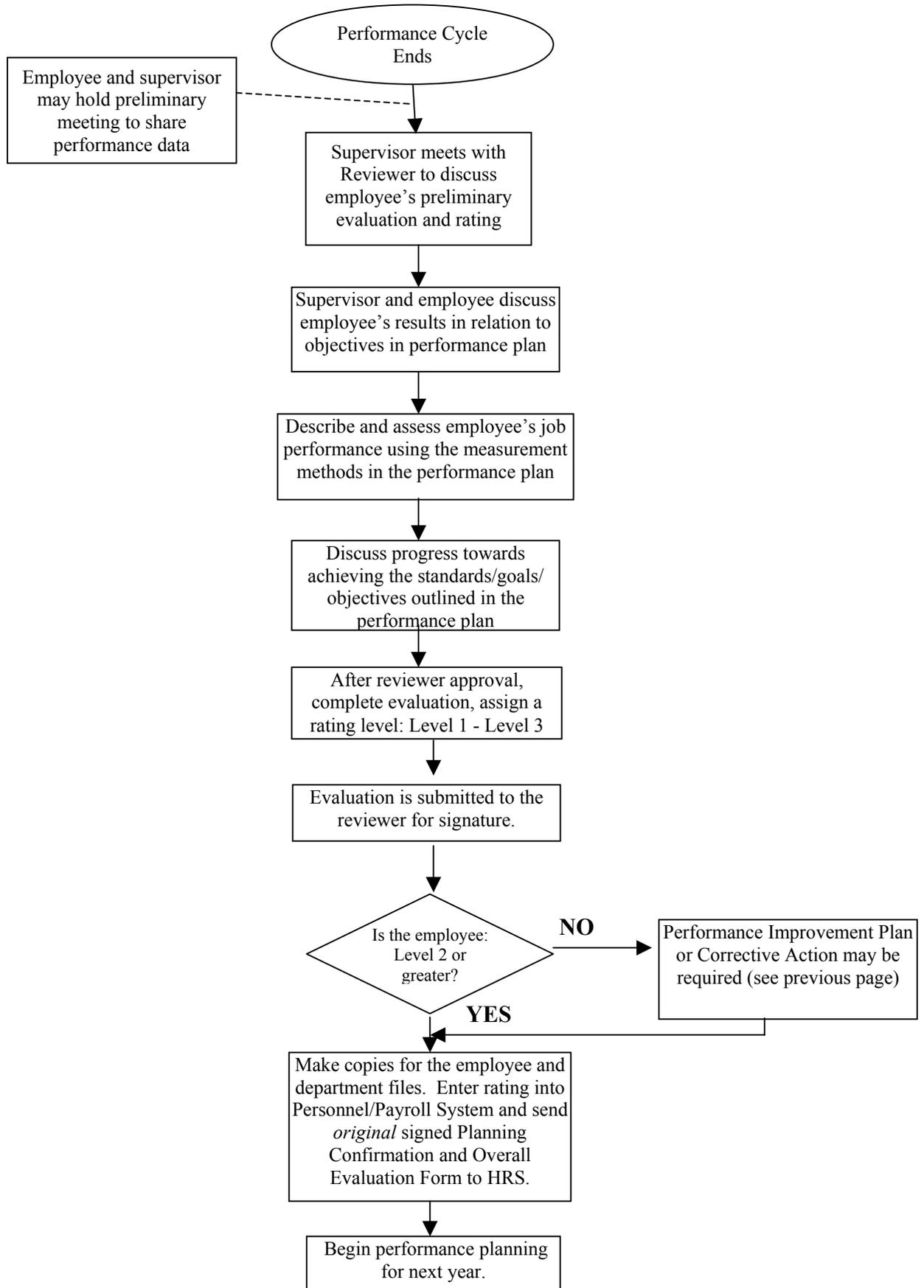
If the employee has been rated as Level 1, needs improvement, a performance improvement plan or corrective action is required unless the employee has already been issued a corrective or disciplinary action, or was rated as Level 1 for the previous evaluation cycle. In these instances, consult with the Director or Associate Director of the Human Resource Services Department prior to proceeding as doing so may prevent the administration of a disciplinary action.

If a Performance Improvement Plan is issued it should include the following:

- Very specific actions and behaviors that the employee is expected to improve and demonstrate
- Consequences for failing to meet these expectations
- Specific timelines for improvement

If a Corrective Action is issued, the employee must be notified of her/his grievance rights.

# Performance Evaluation Process



## **Evaluation Pitfalls to Avoid**

- **Impressions vs. Data** – Ask yourself: “Do I have specific information on behaviors or instances to justify my ratings?”
- **Compatibility vs. Non-compatibility** – Ask yourself: “Am I giving a more positive evaluation because this employee is more like me, agrees with me, doesn’t ‘make waves’, etc?”
- **Halo vs. Horn** – Ask yourself: “Am I inflating all the rating areas because the person performed well in one particular area?” Conversely, “Am I deflating all the ratings because the person has performed poorly in one particular area?”
- **Clarity vs. Fogginess** – Ask yourself: “Can the written comments stand on their own and be understood as I intend them? Will the person being evaluated understand them?”
- **Recency/Primacy** – Ask yourself: “Am I rating performance based on the entire rating period rather than something that happened early on (primacy) or very recently (recency)?”
- **Central Tendency vs. Distribution** – Ask yourself: “Am I rating performance based on the employee’s areas of strength and areas for improvement or am I taking a “middle of the road” approach?”

## **Performance Rating Levels and Definitions**

### **Level 3 (Exceptional Performer):**

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.

### **Level 2 (Successful Performer):**

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.

### **Level 1 (Needs Improvement):**

This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring 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.

## **Review Process**

Every College and Vice Presidential division has established a plan for managing the evaluation process within their respective areas. To ensure that you are conducting your evaluation process in accordance with this plan, contact your College or Vice Presidential division prior to conducting performance reviews with your employees. Additionally, supervisors are required to secure approval from the designated reviewer prior to finalizing performance evaluations with employees. The reviewer is defined as the academic or administrative department head or, the dean or vice president for employees in those central administrative offices, or their designees. The reviewer is never at a level lower than department head and must be at least one level higher within the university than the supervisor.

The role of the reviewer is to ensure that the planning and evaluation process for each employee within their work-unit or department conforms to the CSU Performance Pay Program guidelines and University policies and procedures, and that there is evaluation consistency among the supervisor's subordinate employees and consistency across supervisors.

**The reviewer must approve the employee's overall evaluation rating prior to the supervisor finalizing the performance evaluation with the employee.**

Under CSU/PPP, performance awards will be based on the overall evaluation ratings assigned by supervisors and approved by reviewers, and within system boundaries. Departments or work units may NOT establish quotas or forced distribution processes for determining the number of employee ratings in any of the three performance levels.

## **The Performance Evaluation Session**

**What the supervisor should bring to the Evaluation meeting:**

- Your copy of the Planning Confirmation and Overall Evaluation and related planning forms.
- Your entries and notes and any examples of the employee's work that support your entries or notes.
- Any feedback you have received from the employee's key co-workers or customers.
- Specific examples of times the employee has been successful and opportunities for improvement.
- Some possible ideas for how the employee might leverage their skills, strengths and talents.
- Some ideas for how the employee might improve their skills.

**What the employee should bring to the Evaluation meeting:**

- If you or your unit chooses to use self-evaluation as a part of the process, complete and bring along.
- Any feedback you have received from your key co-workers or customers.
- Your copy of the Planning Confirmation and Overall Evaluation and related planning forms.
- Specific examples of times you have been successful and opportunities for improvement.
- Some possible ideas for how you might leverage your skills, strengths and talents.
- Some ideas for how you might improve your skills and overcome weaknesses, as appropriate.

**Planning the performance evaluation meeting contributes to the success of the process. Below are guidelines for supervisors that will assist in conducting formal performance evaluations:**

- Determine the best way to present your points with emphasis on problem solving and future actions.
- Select a meeting place that is both comfortable and quiet. Schedule the meeting to avoid interruptions. Allow adequate time.
- Create a positive, communicative atmosphere. Be sensitive to the employee's feelings and concerns.
- Begin the meeting by discussing the employee's self-evaluation, if applicable. Discuss areas of agreement and difference.
- Review your draft of the evaluation portion of the Planning and Evaluation Form with the employee. Begin by providing positive feedback. Point out specific accomplishments, noting how they have contributed to the group's efforts and the department/unit mission.
- Ask the employee for suggestions about how to improve performance. Introduce your ideas. Emphasize problem solving and concentrate on future actions for any areas that need improvement.
- Avoid discussing motivation or personal issues. Concentrate on the employee's behavior and the consequences of that behavior to the individual and the department.
- Always allow the employee the opportunity to discuss feelings and reactions to your input and feedback. Listen to the employee. Encourage suggestions.
- Consider multi-source assessment (internal or external customers) when feasible but be aware that the employee is entitled to review all written documents submitted and considered.
- If the employee disagrees with you, allow her or him to state feelings honestly. Listen without arguing or defending your point of view. Be prepared to adjust your viewpoints, if appropriate.
- Set standards/goals/objectives for the next review session.
- After this meeting, forward the completed form to the reviewer
- After any adjustments have been made, ask the employee to sign and date the Planning Confirmation and Overall Evaluation Form, and indicate if he or she agrees or disagrees with the evaluation. If the employee doesn't agree, refer to Section VII, Dispute Resolution Process.
- The supervisor may attach supplemental performance information, work samples or comments. Inform the employee that he/she may attach comments to the Planning and Evaluation Form.

NOTE: If the supervisor fails to complete the performance plan or evaluation, the reviewer is responsible for completion. If the reviewer fails to complete the plan or evaluation, the reviewer's supervisor is responsible, on up the chain of command until the plan or evaluation is completed. If a rating is not given, the employee will be given a default Level 2 rating until the final evaluation is completed. Absent mitigating circumstances, classified supervisors who fail to establish performance plans or to conduct timely evaluations for their employees will receive a corrective action and will not be eligible for any performance award. In accordance with statute, if the performance plan or evaluation is not completed within 30 days of the corrective action, the supervisor will receive a one day disciplinary suspension, and further non-compliance will result in more severe disciplinary action.

## VI. PERFORMANCE AWARDS

### **CSU Pay Philosophy**

Colorado State University believes that it is very important that its performance pay plan provides awards that reward employees commensurate with demonstrated performance.

The base performance award will be the same percentage of pay for all employees not yet at their pay range maximum, according to their overall performance rating. The performance awards for each level will be set in accordance with the state's directives on an annual basis.

### **Performance Awards**

Prior to the payment of annual performance awards, the State Personnel Director will specify and publish the percentage ranges for performance levels based upon the available statewide performance pay funded. Colorado State University will specify the specific award percentages for Levels 2 and 3 based on state parameters and using such factors as budget, employee demographics and distribution of ratings. Source of funds, method of funding and an employee's length of state service cannot be used as criteria for distinguishing performance awards between rating levels.

If the final overall rating is Level 3 (exceptional performer), the base building performance award shall not cause base pay to exceed the pay grade maximum. Any portion of the award that exceeds pay grade maximum shall be paid as a one-time lump sum in the July payroll. The statutory salary lid does not apply to any non-base building portion of the adjustment.

If the final overall rating is Level 2 (successful performer), the base building performance award shall not cause base pay to exceed the pay grade maximum. If base pay is at pay grade maximum or in saved pay above the maximum, the employee is ineligible for a performance award.

If the final overall rating is Level 1 (needs improvement), the employee is ineligible for an annual performance award.

An employee granted an annual performance award shall not be denied the award because of a corrective or disciplinary action issued for an incident after the close of the previous performance cycle.

All performance awards are effective on July 1. The award is based on the final overall rating. The employee must be employed on July 1 to receive payment of an award. Annual performance awards (base building and non-base building) will be a percentage of the employee's salary in effect on July 1, in accordance with state rules. Base building performance awards, up to pay grade maximum, are permanent adjustments to the employee's base pay and are paid as regular salary. Non-base building amounts (lump-sum) count toward the highest average salary (HAS) for PERA. The current pay ranges set by the Colorado Department of Personnel are listed in the CSU Compensation Plan located on the HRS website at: [www.hrs.colostate.edu](http://www.hrs.colostate.edu).

## **New Employees**

Employees hired on or before the last working day in December will be evaluated for their partial year of employment and are eligible for performance awards.

Employees hired on or after the first working day in January will have an informal review for purposes of giving feedback and beginning the formal performance planning and evaluation process. They will not be eligible for performance awards.

## **Job Changes--Transfers, Promotions, Reallocations and Demotions**

If an employee moves to a position under another supervisor or department during a performance cycle, an interim overall evaluation must be completed and delivered to the new supervisor/department within 30 days of the move in accordance with state rules. Since the performance management cycle for CSU/PPP will follow a fixed year cycle for all state classified employees, job changes between or within departments as a result of transfers, promotions, reallocations or demotions during this cycle will affect employee's opportunities for performance awards as outlined below:

### **Position or department changes occurring between April 1 and September 30 of any year:**

- The evaluations by the new supervisors/departments will determine eligibility for performance awards.

### **Position or department changes occurring between October 1 and March 31 of any year:**

- Eligibility for performance awards will be determined on the basis of the interim overall evaluation done by the previous supervisor/department and the evaluation by the new supervisor/department. The new supervisor is responsible for giving an overall evaluation rating.

## **Announcement and Distribution of Performance Awards**

- Colorado State University will specify the percentage awards for Levels 2 and 3 based on state parameters and using such factors as budget, employee demographics and distribution of ratings. After processing of performance ratings for all employees, a notice of the employee's performance award will be generated by the Human Resource Services Department and sent to the department/unit, who will notify the employee of such.
- Base building performance award increases will take effect in the July paycheck and will remain a permanent part of the employee's monthly pay. Non-base building awards will be distributed as a single lump sum in the month of July.
- Both base building and non-base building awards are subject to the normal mandatory payroll deductions.
- Non-base building awards will be recognized by PERA as part of the employee's salary when determining employee's highest average salary (HAS).

## VII. DISPUTE RESOLUTION PROCESS

Under the Colorado State University Performance Pay Program, the direct relationship between performance evaluations and pay rate change has the potential of creating disputes due to differences of opinion between employees and their supervisor.

According to State Department of Personnel guidelines, issues that may be disputed are:

- The employee's performance plan (or absence of a plan);
- The final overall performance evaluation rating, including lack of a final overall evaluation;
- The application of the CSU Performance Pay Program to the employee's plan and/or final overall evaluation; and,
- Complete payment of the performance awards as per the CSU/PPP.

The following matters are not disputable:

- The content of the CSU Performance Pay Program;
- Matters related to the funds appropriated;
- The performance evaluations and performance awards of other employees; and,
- The amount of a performance award, unless the issue involves the application of the CSU Performance Pay Program.

Every effort should be made to resolve any issues at the lowest possible level in a timely manner. Informal resolution before initiating the formal dispute resolution process is strongly encouraged.

In order to ensure the speedy resolution of disputes related to the CSU Performance Pay Program, the following procedure has been adopted. The expedited process from immediate supervisor to final decision is intended to resolve disputes in a timely fashion so that performance awards are finalized in time for a July 1 implementation each year.

An employee wishing to initiate the process for Dispute Resolution (Internal Review) must advise her/his supervisor, using the CSU Performance Pay Dispute Resolution Form (Appendix D), within three working days of the event which has resulted in the disagreement. Only the issue(s) originally presented in writing shall be considered throughout the dispute resolution process. A copy of the completed form shall also be provided to the Department Chair or Department Head of the employee's unit and to the Human Resource Services Director's Office.

**Initial Review:** Upon receipt of the CSU Performance Pay Dispute Resolution Form, the supervisor will schedule a conference with the employee to discuss the issue(s) presented. The employee, the employee's supervisor and the person responsible as the "reviewer" shall attend this conference. The dispute resolution process is an open process that is not a grievance or appeal. 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. The conference at this initial review must occur within five working days of the date the supervisor receives the written request unless both parties agree to an extension of time, exceptions as noted below.

**Note: Disputes arising from the employee's final performance evaluation are not subject to the extension process, due to the short amount of time available for making performance awards and the impact of the evaluation on those decisions.** In this instance, the unavailability of the supervisor or

the reviewer will result in the conference being conducted absent that person. The unavailability of the employee to meet within the defined time period will result in the dispute being terminated.

Within three working days of the conclusion of the initial review conference, the reviewer shall provide the employee with a written response to the employee's concerns. Copies of the CSU Performance Pay Dispute Resolution Form and the reviewer's response must be forwarded to the Director of Human Resources.

**Final Review:** If the employee is not satisfied with the conclusions presented at the Initial Review stage, he/she must so advise the appropriate Dean/Vice-President in writing within three working days of receipt of the determination at the Initial Review stage. Within three working days of receipt of the request to initiate the Final Review, the Dean/Vice-President will conduct a conference with the employee, the supervisor and the reviewer involved in the Initial Review.

The appropriate Dean/Vice-President shall issue his/her decision within three working days of the conference. The decision issued shall be binding unless the dispute includes allegations that the CSU Performance Pay Program was not followed or that a complete payment of the approved award was not made. In these instances, the employee may proceed to the External Stage described below. The same principles for the presence of the advisor and changes in the time frame outlined in the initial review stage also apply to the Final Review stage. A copy of the Dean/Vice-President's decision must be forwarded to the Director of Human Resources.

**External Review:** The Director of the State Department of Personnel administers this stage. Only those original issues involving the application of CSU Performance Pay Program to the individual performance plan and/or evaluation, or full payment of a CSU Performance Pay Program performance award may advance to this stage.

1. Within five working days from the date of the University's final decision, an employee may file a written request for review with the Director using the Colorado State Personnel Director's Appeal/Dispute Form (Appendix E – External Performance Pay Dispute Form/Instructions).
2. The request for external review shall include a copy of the original issue(s) submitted in writing and the written decision at the Final Review stage. All requests for review are subject to an initial screening to determine if review is warranted. If a determination is made that further review is not warranted, it is final and binding and the employee will be so advised by the state.
3. If further review is warranted, the Director or designee shall select a qualified neutral third party. The neutral third party has 30 days to issue a written decision, which is final and binding.

NOTE: 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 CSU Performance Pay Program. These individuals shall not substitute their judgment for that of the rater, reviewer, or the decision maker of the Internal Final Review. Further, these individuals shall not render a decision that would alter the CSU Performance Pay Program.

In reaching a final decision, these individuals have the authority to instruct a rater(s) to:

1. Follow the CSU Performance Pay Program
2. Correct an error; or,
3. Reconsider an individual performance plan or final overall evaluation

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

## VIII. PERSONNEL/PAYROLL SYSTEM DATA ENTRY

To help ensure compliance with the CSU Performance Pay Program provisions and State Rules, and to meet State reporting requirements related to performance management, departments must enter certain information into the Personnel/Payroll System throughout the performance pay cycle as follows:

- The date the planning meeting between the employee and supervisor took place must be recorded in the System by the stipulated performance planning deadline(s).
- The date the mid-year review meeting between the employee and supervisor took place must be recorded in the System by the stipulated mid-year review deadline(s).
- The date the final evaluation meeting between the employee and supervisor took place and the final overall rating must be recorded in the System by the stipulated evaluation deadline.

**For information on how to enter this information into the Personnel/Payroll System, refer to the Personnel/Payroll User's Guide or contact the HRS Personnel/Payroll Help Desk.**

## IX. RESOURCES

### **Call Human Resource Services for Performance Pay Program Support**

- Campus and departmental Performance Pay Program training
- Consultation with supervisor and/or employees in writing a performance plan
- Answer questions related to performance management
- Assist in performance pay dispute resolutions

**Employee Relations Manager  
491-0950**

### **Related Colorado State University Resources**

**Human Resources web page:** <http://www.hrs.colostate.edu/>

- Human Resource Services Manual which includes information on:
  - Managing employee performance (corrective and disciplinary actions)
  - Grievance process
  - Time recording and management
  - Leave usage and management
  - Compensation
  - Procedures for creating and filling positions
  - Voluntary and involuntary separations
  - University, state and federal employment related policies, rules and regulations
- Performance Pay Program
- CSU Compensation Plan and Policy
- Employment and Classification
- Employee Relations, etc.

**Training & Development web page:** <http://www.training.colostate.edu/>

Training and development programs for personal and professional growth for CSU Employees

**Appendix A**  
**Colorado State University Performance Pay Program**  
**Planning Confirmation and Overall Evaluation Form**

Planning Period: From: _____	To: March 31, 20_____
Employee: _____	Employee number (Personnel/Payroll System) _____
Job Title: _____	Position Number _____
Department & 4-digit mail code _____	Supervisor _____

**This section must be completed during the Performance Planning Stage**

The PDQ for this position was reviewed and is current and accurate. Supervisor Initials: _____ Date: _____	
The performance plan has been reviewed and understood.	
Supervisor Signature _____	Date: _____
Employee Signature _____	Date: _____

**This section must be completed during the Mid-Year Progress Review**

At least one coaching, or progress review, meeting is required for each evaluation period; more are recommended. Indicate the date the meeting was held and the issues that were discussed.	
Issues Discussed:  _____	
Supervisor Signature _____	Date: _____
Employee Signature _____	Date: _____

**This section must be completed during the Performance Evaluation Process**

Check (√) the overall performance rating for the evaluation period (see rating level definitions below):		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3
Supervisor Signature _____	Date: _____	
Reviewer Signature _____	Date: _____	
Employee Signature _____	Date: _____	
I agree with this evaluation: _____ I disagree with this evaluation: _____		

**Definitions of Overall Performance Rating Levels:**

**Level 3 (Exceptional Performer):** 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.

**Level 2 (Successful Performer):** 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.

**Level 1 (Needs Improvement):** This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring 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.

**Enter overall rating in Personnel/Payroll System, make department/employee copies of this form & forward original to HRS by April 30<sup>th</sup>. Performance Evaluation section MUST include employee, supervisor & reviewer signatures.**

## Appendix B

### Core Competencies

The State Personnel Director has defined the following uniform, statewide core competencies: communication, interpersonal skills, customer service, and accountability and job knowledge. These core competencies must be included into every employee performance plan and considered during every employee evaluation.

A competency is a measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully.

**Job Knowledge/Potential** – Possesses knowledge of established policies and procedures. Possesses sufficient skills and knowledge to perform all parts of the job effectively and efficiently. Provides technical assistance to others and is consulted by others on technical matters. Pursues professional development. Displays innovation.

**Communication/Verbal and Written** – Uses appropriate language and terminology. Communicates in a manner that is understood, courteous and effective. Demonstrates effective listening skills. Seeks and considers ideas from others on issues. Keeps supervisor, co-workers and internal units informed. Is considerate of the communication styles of others. Prepares written communications/documents that are complete, clear and understandable.

**Interpersonal Relations** – Maintains smooth working relations, support and respect for others. Demonstrates tact and diplomacy in negotiations or confrontations with others. Contributes to employee morale and motivation. Is accessible to others and responsive to their questions, needs and concerns. Supports and appreciates the diversity of co-workers, students, customers and visitors. Shares information, credit and opportunities. Displays an appropriate balance between personal effort, team effort and ability to establish rapport with internal and external clients.

**Customer Service** – Provides prompt and friendly service to internal and external customer. Helps identify customer needs through courteous questioning and a sincere desire to be helpful. Follows up with customers, as appropriate, to ensure satisfaction. Considers and recommends alternatives to customers when needed.

**Accountability** – Accepts responsibility for actions. Meets changing conditions and situations in work responsibilities. Accepts constructive criticism and suggestions and makes appropriate changes. Handles conflict in a constructive manner. Seeks solutions acceptable to all. Is willing to accept supervision. Can consistently be relied on to perform in a professional manner. Represents department and the University in an exemplary fashion. Is fully ready to work at the beginning of work schedule and continues until workday is done. Does not abuse leave practices. Does not abuse department, University of State of Colorado policies and practices.

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*All supervisors must have the following core competency in their performance plans that measure and evaluates the effectiveness of their supervision and performance management of their employees.*

**Supervision / Performance Management**– Employees supervised demonstrate productivity, competence and high morale. Provides supervision, feedback and training for employees. Utilizes employee's skills and abilities. Conducts performance planning and evaluations in a timely manner. Develops performance standards, goals, objectives and deadlines and communicates them to employees. Resolves routine personnel issues or problems.

## Appendix C – Example Planning and Evaluation Forms

### Planning and Evaluation Form

Unit Mission statement:

How this position supports the Unit Mission:

#### Standards/Goals/Objectives Associated with Success in This Position

“Standards/Goals/Objectives” are specific statements or requirements and agreed upon by the supervisor and the employee. “Measurement Method” reflects the evaluation basis for the expected results. “Results achieved” are the accomplishments of the employee during the evaluation period.

	Standard/Goal/Objective:	Results Achieved:	
			<b>Level 3</b>
<b>1</b>	<b>Measurement Method:</b>		
			<b>Level 2</b>
			<b>Level 1</b>

	Standard/Goal/Objective:	Results Achieved:	
			<b>Level 3</b>
<b>2</b>	<b>Measurement Method:</b>		
			<b>Level 2</b>
			<b>Level 1</b>

	Standard/Goal/Objective:	Results Achieved:	
			<b>Level 3</b>
<b>3</b>	<b>Measurement Method:</b>		
			<b>Level 2</b>
			<b>Level 1</b>

**Appendix C – Example Planning and Evaluation Forms (Continued)**

	<b>Standard/Goal/Objective:</b>	<b>Results Achieved:</b>	
			<b>Level 3</b>
<b>4</b>	<b>Measurement Method:</b>		
			<b>Level 2</b>
			<b>Level 1</b>

	<b>Standard/Goal/Objective:</b>	<b>Results Achieved:</b>	
			<b>Level 3</b>
<b>5</b>	<b>Measurement Method:</b>		
			<b>Level 2</b>
			<b>Level 1</b>

## Appendix C – Example Planning and Evaluation Forms (Continued)

### Core Competencies

\_\_\_\_\_ **Job Knowledge/Potential:** Possesses knowledge of established policies and procedures. Possesses sufficient skills and knowledge to perform all parts of the job effectively and efficiently. Provides technical assistance to others and is consulted by others on technical matters. Pursues professional development. Displays innovation.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Comments:

\_\_\_\_\_ **Accountability:** Accepts responsibility for actions. Meets changing conditions and situations in work responsibilities. Accepts constructive criticism and suggestions and makes appropriate changes. Handles conflict in a constructive manner. Seeks solutions acceptable to all. Willingness to accept supervision. Can consistently be relied on to perform in a professional manner. Seldom needs to be reminded. Is fully ready to work at beginning of work schedule and continues until workday is done. Does not abuse leave practices.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Comments:

\_\_\_\_\_ **Interpersonal Relations:** Maintains smooth working relations, support and respect of others. Demonstrates tact and diplomacy in negotiations or confrontations with others. Contributes to employee morale and motivation. Is accessible to others and responsive to their questions, needs and concerns. Supports and appreciates the diversity of co-workers, students, customers, and visitors. Shares information, credit and opportunities. Displays an appropriate balance between personal effort and team effort and ability to establish rapport with internal and external customers.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Comments:

\_\_\_\_\_ **Communication/Verbal and Written:** Uses appropriate language and terminology. Communicates in a manner that is understood, courteous and effective. Demonstrates effective listening skills. Seeks and considers ideas from others on issues. Keeps supervisor, co-workers and internal units informed. Is considerate of the communication styles of others. Prepares written communications/documents that are complete, clear and understandable.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Comments:

\_\_\_\_\_ **Customer Service:** Provides prompt and friendly service to internal and external customers. Helps identify customer needs through courteous questioning and a sincere desire to be helpful. Follows up with customers, as appropriate, to insure satisfaction. Considers/recommends alternatives to customers when needed.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Comments:

All supervisors must have the following core competency in their performance plan:

\_\_\_\_\_ **Supervision/ Performance Management:** Employees supervised demonstrate productivity, competence and high morale. Provides supervision, feedback and training for employees. Utilizes employee's skills and abilities. Conducts performance Planning and evaluations for employees in a timely manner. Develops goals, objectives and deadlines and communicates them to employees. Resolves routine personnel issues or problems.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Comments:

## Appendix C – Example Planning and Evaluation Forms (Continued)

The following are examples of additional competencies that may be appropriate for specific situations. They are provided here only as examples and are not meant to limit the inclusion of competencies beyond those mandated by the State.

\_\_\_\_\_ **Motivation/Commitment:** Displays drive and energy in accomplishing tasks. Handles several responsibilities concurrently. Conveys positive and professional image of work unit to others. Puts forth-extra effort when needed. Agrees to modify schedule or adapt Programs when necessary. Self-starter. Displays positive attitude in work assignments and interactions with others.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

\_\_\_\_\_ **Competence/Responsibility:** Maintains quality/quantity standards. Accepts responsibility for all areas of job. Uses time effectively with minimal errors. Completes work thoroughly in a reasonable amount of time. Meets or surpasses established goals. Works accurately, neatly, and attends to detail.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

\_\_\_\_\_ **Problem Solving/Reasoning:** Recognizes and analyzes work related problems. Uses available resources to evaluate and recommend potential solutions. Ability to use good judgment to arrive at sound conclusions. Ability to take timely action.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

\_\_\_\_\_ **Safety:** Aware of job safety procedures. Keeps abreast of changes in safety procedures. Practices safety work habits. Reports possible safety hazards to supervisor. Attends safety-training programs, as appropriate.

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

Level 1 \_\_\_\_\_ Level 2 \_\_\_\_\_ Level 3 \_\_\_\_\_

**Appendix C – Example Planning and Evaluation Forms (Continued)**

**Development Programs**

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**Narrative Section**

(For use by Supervisor to amplify the evaluation or Employee to explain disagreement with the evaluation; attach additional sheets if necessary).

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## Appendix C – Example Planning and Evaluation Forms (Continued)

### CSU Pay for Performance Plan Core Competencies

The State Personnel Director has defined the following uniform, statewide core competencies: communication, interpersonal skills, customer service, and accountability and job knowledge. These core competencies must be included into every employee performance plan and considered during every employee evaluation.

A competency is a measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully.

**Job Knowledge/Potential** – Possesses knowledge of established policies and procedures. Possesses sufficient skills and knowledge to perform all parts of the job effectively and efficiently. Provides technical assistance to others and is consulted by others on technical matters. Pursues professional development. Displays innovation.

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> <li>• Fails to apply job related knowledge and practices</li> <li>• Fails to attend training about job-related developments</li> <li>• Requires oversight or constant coaching on job performance</li> </ul>	<ul style="list-style-type: none"> <li>• Meets expectations of current job knowledge and practices</li> <li>• Attends training as assigned/directed and may seek out new training and learning opportunities</li> <li>• Possesses sufficient skills to perform job effectively and efficiently and may demonstrate growth by expanding on job knowledge and skills</li> </ul>	<ul style="list-style-type: none"> <li>• Consistently seeks new job-related knowledge and practices, and finds ways to apply them</li> <li>• Seeks, learns and applies new knowledge and disseminates to co-workers</li> <li>• Highly knowledgeable and skilled; consulted by others; effectively coaches co-workers</li> </ul>

**Communication/Verbal and Written** – Uses appropriate language and terminology. Communicates in a manner that is understood, courteous and effective. Demonstrates effective listening skills. Seeks and considers ideas from others on issues. Keeps supervisor, co-workers and internal units informed. Is considerate of the communication styles of others. Prepares written communications/documents that are complete, clear and understandable.

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> <li>• Fails to communicate effectively</li> <li>• Fails to share job-related communication and information</li> <li>• Is unreliable in responding to written/verbal communications</li> </ul>	<ul style="list-style-type: none"> <li>• Communicates when necessary based upon fact and may encourage communications to increase workplace effectiveness/efficiencies</li> <li>• Shares job-related information as appropriate</li> <li>• Understands job-related communication/information</li> <li>• Verifies and corrects misinformation</li> <li>• Responds appropriately to job-related written/verbal communications</li> </ul>	<ul style="list-style-type: none"> <li>• Consistently promotes and encourages communication</li> <li>• Anticipates, seeks and provides job-related information</li> <li>• Interprets, disseminates, and archives information</li> <li>• Contributes to ongoing communication</li> <li>• Consistently and proactively responds to written/verbal communications in an effective and timely manner</li> </ul>

**Interpersonal Relations** – Maintains smooth working relations, support and respect for others. Demonstrates tact and diplomacy in negotiations or confrontations with others. Contributes to employee morale and motivation. Is accessible to others and responsive to their questions, needs and concerns. Supports and appreciates the diversity of co-workers, students, customers and visitors. Shares information, credit and opportunities. Displays an appropriate balance between personal effort, team effort and ability to establish rapport with internal and external clients.

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> <li>• Discourages a positive work environment</li> <li>• Is disrespectful and/or displays unprofessional behavior</li> <li>• Undermines teambuilding efforts</li> <li>• Disregards the importance of rapport</li> <li>• Not tolerant of diversity in the workplace.</li> </ul>	<ul style="list-style-type: none"> <li>• Cooperates toward a positive work environment.</li> <li>• Maintains smooth working relations with co-workers, supervisors, visitors and customers</li> <li>• Demonstrates respectful and professional behavior as required.</li> <li>• Tolerant of diversity within the workplace.</li> <li>• Cooperates in teambuilding efforts</li> <li>• Establishes rapport which fosters effective communications</li> </ul>	<ul style="list-style-type: none"> <li>• Fosters, promotes and initiates a positive work environment</li> <li>• Promotes respect and professionalism in self and others</li> <li>• Supports/appreciates diversity.</li> <li>• Consistently models strong teambuilding behaviors</li> <li>• Promotes and models good rapport-building behaviors and seeks opportunities to further relationships</li> </ul>

**Customer Service** – Provides prompt and friendly service to internal and external customer. Helps identify customer needs through courteous questioning and a sincere desire to be helpful. Follows up with customers, as appropriate, to ensure satisfaction. Considers and recommends alternatives to customers when needed.

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> <li>• Disregards customer needs</li> <li>• Deals with customers inappropriately</li> <li>• Fails to provide customer follow-up</li> <li>• Reacts to conflict inappropriately</li> <li>• Seen as unapproachable.</li> </ul>	<ul style="list-style-type: none"> <li>• Ascertains and accommodates customer needs and may explore more effective alternatives of meeting customer needs</li> <li>• Deals with customers appropriately and positively</li> <li>• Provides customer follow-up in a timely manner.</li> <li>• Deals with conflict appropriately</li> <li>• Seen as friendly and approachable.</li> </ul>	<ul style="list-style-type: none"> <li>• Consistently works with customers to ensure high level of customer satisfaction</li> <li>• Successfully works with all customers</li> <li>• Provides consistent customer follow-up, seeks or disseminates additional information</li> <li>• Consistently manages conflict effectively</li> </ul>

**Accountability** – Accepts responsibility for actions. Meets changing conditions and situations in work responsibilities. Accepts constructive criticism and suggestions and makes appropriate changes. Handles conflict in a constructive manner. Seeks solutions acceptable to all. Is willing to accept supervision. Can consistently be relied on to perform in a professional manner. Represents department and the University in an exemplary fashion. Is fully ready to work at the beginning of work schedule and continues until workday is done. Does not abuse leave practices. Does not abuse department, University of State of Colorado policies and practices.

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> <li>• Does not accept responsibility for actions and fails to learn from errors in judgment</li> <li>• Unwilling to accept constructive criticism from others – defensive</li> <li>• Displays poor professional image</li> <li>• Misuses University resources</li> <li>• Disregards department, University, State and Federal policies, rules and regulations related to personnel &amp; fiscal management, purchasing, travel, contracting, University resources, information/data privacy and security, conflict of interest, etc.</li> <li>• Abuses annual/sick leave policies</li> </ul>	<ul style="list-style-type: none"> <li>• Accepts responsibility for actions and learns from errors in judgment.</li> <li>• Willing to accept constructive criticism and supervision.</li> <li>• Displays professional image</li> <li>• Uses University resources appropriately and effectively.</li> <li>• Adheres to department, University, State and Federal policies, rules and regulations related to personnel &amp; fiscal management, purchasing, travel, contracting, University resources, information/data privacy and security, conflict of interest, etc.</li> <li>• Adheres to annual/sick leave policies and considers work commitments when requesting leave.</li> </ul>	<ul style="list-style-type: none"> <li>• Consistently accepts responsibility for actions and researches ways to avoid errors from occurring again</li> <li>• Alters conduct and procedures based on constructive criticism</li> <li>• Represents department and the University in a highly professional manner at all times</li> <li>• Considers and applies best practices in using University resources and encourages others to do so</li> <li>• Educates and encourages others to abide by department, University, State and Federal policies, rules and regulations,</li> <li>• During absence ensures that all aspects of the job are covered</li> </ul>

*All supervisors must have the following core competency in their performance plans that measure and evaluate the effectiveness of their supervision and performance management of their employees.*

**Supervision / Performance Management**– Employees supervised demonstrate productivity, competence and high morale. Provides supervision, feedback and training for employees. Utilizes employee’s skills and abilities. Conducts performance planning and evaluations in a timely manner. Develops performance standards, goals, objectives and deadlines and communicates them to employees. Resolves routine personnel issues or problems

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> <li>• Work unit is inefficient/unproductive</li> <li>• Provides minimal information to employees about issues and expectations</li> <li>• Fails to provide coaching and feedback to employees</li> <li>• Allows conflicts to go unresolved</li> <li>• Makes assignments without regard to employees’ abilities</li> <li>• Fails to ensure employees follow relevant departmental, University, State and Federal policies, rules and regulations related to personnel &amp; fiscal management, purchasing, travel, contracting, University resources, information/data privacy and security, conflict of interest, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Work unit is productive and efficient</li> <li>• Consistently provides employees with necessary information regarding issues and expectations</li> <li>• Provides coaching and feedback to employees</li> <li>• Recognizes conflicts and addresses them in a timely manner</li> <li>• Is knowledgeable about conflict resolutions resources. Viewed as fair by employees.</li> <li>• Keeps manager informed of workplace issues.</li> <li>• Recognizes and utilizes employees’ skills, strengths and abilities appropriately.</li> <li>• Ensure employees follow relevant departmental, University, State and Federal policies, rules and regulations related to personnel &amp; fiscal management, purchasing, travel, contracting, University resources, information/data privacy and security, conflict of interest, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Work unit has consistently high performance and supports the mission of the organization</li> <li>• Assures appropriate action is taken with disseminated information</li> <li>• Applies knowledge and experience to new situation</li> <li>• Takes steps to prevent conflicts from occurring</li> <li>• Encourages and provides growth opportunities for employees</li> <li>• Notifies appropriate administrators/central offices when aware of unethical or illegal behavior or behavior which violates CSU policy. Foster work environment which does the same.</li> </ul>

Appendix D – Internal Review

**CSU Performance Pay Dispute Resolution Form**

Date _____	Job Title _____
Employee's Name _____	Supervisor _____
Department & 4-digit mail code _____	

**I wish to have the following reviewed:**

- \_\_\_\_\_ 1. My performance plan or lack of a plan. The error or problem is:
  
- \_\_\_\_\_ 2. My performance rating. The error or problem is:
  
- \_\_\_\_\_ 3. The application of the CSU Performance Pay Program, process, or policies to my plan or evaluation. The error or problem is:
  
- \_\_\_\_\_ 4. Full payment of my award. The error or problem is:

**To resolve this issue, I have taken the following actions:**

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**RESOLUTION BEING REQUESTED:**

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<b>Employee's Signature:</b> _____ <b>Date:</b> _____
For additional information on the dispute resolution process including the form to use in proceeding to the external process consult the User Guide, Section VII available on the HRS website at: <a href="http://www.hrs.colostate.edu/">http://www.hrs.colostate.edu/</a> , or by contacting the CSU Employee Relations Manager.
<b>Submit copies to your supervisor, reviewer and to the Human Resource Services Department.</b>

**Appendix E – External Performance Pay Dispute Form/Instructions**  
**COLORADO STATE PERSONNEL DIRECTOR’S**  
**APPEAL/DISPUTE FORM**

**NOTE:** Read the instructions before completing this form. Type or print (legibly) in ink. You may attach additional sheets if necessary. If you attach additional sheets to this form, note which numbered question the information on the additional sheets applies to. Pursuant to the Americans with Disabilities Act, copies of this form are available in alternate formats. Contact the State Personnel Director to obtain an alternate format. Mail, fax, or hand-deliver completed forms to:

Personnel Director, Appeals Section  
1313 Sherman Street, 1<sup>st</sup> Floor  
Denver, Colorado 80203  
Fax: 303-866-2021

**1. IDENTIFICATION**

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
Phone: (w) \_\_\_\_\_  
(h) \_\_\_\_\_

Representative on Appeal (if applicable):\*  
Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Fax: \_\_\_\_\_  
**\*Does not apply to Performance Pay Disputes.**

**You must notify the Director in writing if the above information changes before the appeal or dispute process is concluded.**

I am a **certified** state employee:  Yes  No

**2. THE PARTY WHOSE ACTION IS BEING APPEALED OR DISPUTED:**

Name: \_\_\_\_\_  
Department\*: \_\_\_\_\_  
Address: \_\_\_\_\_  
Describe actions taken to try to resolve dispute:

*\*Note: Department includes principal departments and higher education institutions.*

**3. SPECIFIC ACTIONS BEING APPEALED OR DISPUTED:**

**4. REASONS FOR APPEAL/DISPUTE:** The action taken was arbitrary, capricious, or contrary to rule or law because:

**Appendix E – External Performance Pay Dispute Form/Instructions (Continued)**

**5. RELIEF REQUESTED:**

**6. DATE OF RECEIPT OF NOTICE OF ACTION BEING APPEALED:**

(You must attach a copy of the written notice) \_\_\_\_\_

**7. TYPE OF APPEAL OR DISPUTE: Check only the box(es) that apply.**

**Selection or Examination Appeal**

Class Title: \_\_\_\_\_ Date of Exam: \_\_\_\_\_

**Downward Position Allocation Appeal** (allocation to a class in a lower pay grade.)

Present Class Title: \_\_\_\_\_

**Director's Review of a Performance Pay Dispute** (Attach copy of the original written internal dispute and department's decision, and submit within *5 days of department decision*.)

Application of department's performance pay program to individual plan or  Full payment of award rating

**Director's Review** (See Rule 8-101 and 8-102) (Describe, e.g., overtime, FMLA, removal of name from eligible list, rejection of an application.)

**Director's Review of a matter involving the overall administration of the personnel system by an agency, which is not otherwise appealable** (See Rule 8-102A) (Describe)

**THIS FORM MUST BE SIGNED BY THE COMPLAINANT OR, IF APPLICABLE, THE COMPLAINANT'S REPRESENTATIVE. SIGNATURE BY THE COMPLAINANT'S REPRESENTATIVE CONSTITUTES AN ENTRY OF APPEARANCE FOR AN APPEAL OR DISPUTE. ALL DOCUMENTS AND CORRESPONDENCE WILL BE SENT TO THE PERSON SIGNING THIS FORM.**

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

**CERTIFICATE OF DELIVERY: YOU MUST HAND DELIVER OR MAIL A COPY OF YOUR APPEAL TO THE PARTY LISTED IN ITEM 2.**

I certify that I have served a copy of this appeal on the respondent at the address specified in item 2 above, by

( first class mail  hand delivery)

this \_\_\_\_\_ Day of \_\_\_\_\_ 20 \_\_\_\_ .

\_\_\_\_\_  
Signature

Information on appeals to the State Personnel Board, along with appropriate forms can be found at:  
<http://www.colorado.gov/dpa/spb/>

## Appendix E – External Performance Pay Dispute Form/Instructions (Continued)

### Instructions for Completing the Colorado State Personnel Director's Appeal/Dispute Form

This form is to be used for state personnel system appeals or disputes under the jurisdiction of the State Personnel Director.

Appeals must be filed within 10 calendar days of the date on which you received notice of the action being appealed or disputed. If the 10<sup>th</sup> day falls on Saturday, Sunday, or a legal state holiday, the filing deadline is extended to the next business day. An appeal may be filed by one of the following methods.

Mail, with a postmark on or before the 10<sup>th</sup> day, to 1313 Sherman St, 1<sup>st</sup> Floor, Denver, CO 80203.

Hand deliver to the above address before the 10-day appeal period ends.

Fax to (303) 866-2021 on or before the 10<sup>th</sup> day.

**The same applies to performance pay disputes except the filing deadline is five (5) working days from the date of the department's or higher education institution's final written decision.**

The use of the form is required. Failure to give complete and specific information *may* result in dismissal of your appeal or dispute.

#### **DIRECTIONS FOR COMPLETING THE FORM:**

##### **1. IDENTIFICATION SECTION**

Enter your name, the address where you want to receive mail, and the telephone number where you may be reached concerning this appeal. *It is your responsibility to notify the State Personnel Director, Appeals Section, of any change in your address.* Failure to do this may result in dismissal of your appeal or dispute.

**Representative.** Do not fill in this section unless your representative (i.e., lawyer or a business agent of an employee association) signs the form. This section does not apply to performance pay disputes.

**Certified status.** An employee who has completed the probationary or trial service period is certified and has certain legal rights.

##### **2. PARTY WHOSE ACTION IS BEING APPEALED OR DISPUTED**

Enter the name of the person who took the action being appealed or disputed, e.g., signed the letter or notice, including the name of the department or higher education institution. Also briefly describe the action(s) you have taken to try and resolve the matter prior to filing this appeal or dispute.

##### **3. SPECIFIC ACTION(S) APPEALED/DISPUTED**

Describe briefly and specifically the action being appealed or disputed.

Revised 8/1/2006

#### **4. REASONS FOR APPEAL/DISPUTE**

Provide a brief explanation of why you are requesting review of this action. You will have an opportunity to fully explain your position later. The action you are appealing can be overturned only if it is arbitrary, capricious, or contrary to rule or law. "Arbitrary or capricious" is defined as action that has no rational basis or no competent evidence to support it. "Contrary to rule or law" is defined as an action that violates a specific provision of law, policy, rule or procedure. The same applies to performance disputes involving the application of the department's performance pay program or full payment of a performance award.

#### **5. RELIEF REQUESTED**

State what you want to happen as the result of your appeal or dispute. What do you want the Director to order if you win your appeal or dispute? Be specific.

#### **6. DATE OF NOTICE**

The date you received notice is critical in establishing your right to appeal or dispute. *Attach a copy of the written notice you received, if any, of the action you are appealing or disputing.* Indicate if you did not receive any written notice of the action.

#### **7. TYPE OF APPEAL/DISPUTE**

Check off only those boxes that clearly apply to your situation. Generally, only one box will apply.

#### **8. SIGNATURE**

The form must be signed by you or by your representative, if applicable, in the case of an appeal. Also, be sure that the signer's name, address and telephone number are printed or typed above in Section 1.

#### **9. CERTIFICATE OF DELIVERY**

You **must** deliver a copy of this form to the respondent, either in person or by first class mail, addressed exactly as you have given the respondent's address on page 1. Specify whether the copy of the form was delivered by mail or hand, and the date it was postmarked or hand delivered, then sign.

#### **WHAT TO EXPECT NEXT:**

You will receive a written response advising you of the next step in the process. If you have not received a written response by the 10<sup>th</sup> calendar day, after filing your appeal or dispute, you may call the Director's Office at (303) 866-2393 to inquire about the status of your appeal or dispute. .

Additional detailed information is available in Colorado State Personnel System Rules and Procedures, in particular Chapter 8, on the web at <http://www.colorado.gov/dpa/dhr/rules/rules.htm>.