

# Performance Pay System

At  
Fort Lewis College

---

**Human Resources Office**

---

Revised 11/1/04

Most Current as of February 2006

## **Fort Lewis College Performance Pay System Plan Contents**

- I. Performance Management Program Plan
- II. The Fort Lewis College Mission Statement
- III. Performance Management Program Planning and Appraisal Documents
  - Performance Plan and Evaluation Documentation Form
  - Performance Factors
  - Additional Factors
  - Overall Rating Calculation Form
  - Mid Year Performance Review Form
  - Performance Management Instructions
  - Definition of Ratings
- IV. Employee Dispute Resolution Procedures
- V. Communication and Training
- VI. Performance Pay System Glossary of Terms
- VII. Funding and Allocation of Performance Salary Adjustments
- VIII. Record keeping
- IX. Evaluation of Fort Lewis College Performance Pay System Plan Policies

## **I. Performance Management Program Plan**

### Historical Background

In 1996, in response to CRS 24-50-104, the State of Colorado adopted Colorado Peak Performance (CPP), a compensation system linking classified employees' pay to performance. In SB00-211, the State of Colorado legislature repealed CPP and required the Executive Director of the Department of Personnel to draft a new performance pay system. This document has been submitted to the Department of Personnel in response to the new plan, Performance Pay System (PPS).

A task force consisting of a cross section of Fort Lewis College employees designed the FLC Performance Management Program in the belief that a successful performance management program must include the following components:

- The objective of the performance management program is to support the mission of the College; therefore, the goals and objectives of the departments should be aligned with the mission of the College and the goals and objectives of the individual performance plans should be aligned with the goals and objectives of the departments.
- The supervisor and the employee must mutually develop a core of clear job expectations and measures of success that tie to the mission and goals of the department and the College.
- There must be mutual respect between employees and supervisors.
- Managerial style must be conducive to employee growth.
- Successful employees should expect the organization to reward them in appropriate ways.
- Supervisors have the responsibility to address marginal performance.
- Complete records of all performance evaluations will be maintained in a permanent file.

## Performance Management Program Process and Timeline

Performance management consists of three interconnected phases: **planning, coaching/feedback,** and **evaluation.** These three phases are designed to accomplish the stated mission and goals of the college and specific departments through enhanced work performance, communication, and professional development.

**Performance Planning:** A performance plan for each permanent classified employee is due in the Human Resources Office no later than May 1 of each year. New employees should have a performance plan within 30 days of date of hire. There should be a planning meeting between the employee and the supervisor. During the meeting performance factors are selected and a relative weight is assigned to each factor. A supervisor who fails to develop the performance plan within 30 days of the start of the planning and appraisal cycle (normally April 1) will not be entitled to a PPS performance increase. In that case the next level supervisor will be responsible for preparing the plan within 30 days (May 31). If neither supervisor develops the plan the responsibility will proceed up the supervisory chain as far as the Appointing Authority who will be ultimately responsible. Supervisors' performance plans will include a "factor" that evaluates the effectiveness of their performance management of their employees.

Each performance plan and subsequent evaluation will include uniform core competencies that have been defined by the State Personnel Director. The factors to be included are Communication, Accountability/Professional Conduct, Interpersonal Skills/Teamwork, Customer Service and Job Knowledge/Potential. These uniform core competencies cannot be disregarded in the final rating for each employee.

**Performance Coaching/Feedback:** There are two steps to the process:

- A meeting between each permanent classified employee and the supervisor will be conducted.
- A written Mid Year Performance and Performance Plan Review Form is required in the Human Resources Office no later than October 31 of each year for each classified staff employee who has a minimum of 90 days in the department.

**Performance Evaluation:** All permanent classified employees with a minimum of 90 days of state service will be evaluated in writing, at least annually based on their job performance during the previous year. The written evaluation is due in the Human Resources Office no later than April 30th of each year or when the employee leaves the work unit, whichever comes first. Employee feedback is encouraged through provision of the self-rating scale on the Performance Factors Form (see page 9). The evaluation will be reviewed by the second level supervisor. In addition to the reviewer, the Human Resources Director will review ratings for consistency and quality. The Appointing Authority will annually review all ratings for consistency and quality. The ratings used for the evaluation will be: Level 1 or Needs Improvement, Level 2 or Proficient, Level 3 or Commendable and Level 4 or Peak Performer. The definition of each rating level is the uniform definition provided by the Department of Personnel for all state personnel employees. A written justification is required for each factor which is rated as Needs Improvement or Peak

Performer. A written justification is also required for an overall rating that is rated as Level 1 (Needs Improvement) or Level 4 (Peak Performer.) An overall rating of Needs Improvement must result in a corrective action or a performance improvement plan. An overall rating of Peak Performer is unique and difficult to achieve because it represents consistently exceptional performance or achievement beyond the regular assignment .

If the supervisor fails to provide an evaluation for the employee, the supervisor will not be eligible for a performance salary adjustment. In that case the second level supervisor will be required to evaluate the employee. If the second level supervisor fails to provide an evaluation for the employee, the responsibility proceeds up the supervisory chain ultimately resting with the Appointing Authority. Quotas or forced distribution processes for determining the number of ratings in any of the four performance levels shall not be established.

Further, in accordance with the State Department of Personnel Director procedures P-6-2:

Designated raters are evaluated on their performance management and evaluation of employees. Absent extraordinary circumstances, failure to timely plan and evaluate in accordance with the agency's performance management process results in a corrective action and ineligibility for an anniversary increase or performance salary adjustment. If the plan or evaluation is not completed within 30 days, the designated rater shall be disciplinarily suspended in increments of one work week following the pre-disciplinary meeting.

In addition CRS 24-50-118 (3)(a) states "...a supervisor, which for purposes of this section shall include exempt supervisors of classified employees, who does not evaluate his or her subordinate employees, as provided in this section, on at least an annual basis shall be suspended from work without pay for a period of not less than one work week."

The performance cycle period for Fort Lewis College shall be April 1 through the following March 31.

#### Timeline for Performance Management Process Documentation

First Working Day of May	Written Performance Plan
Last Working Day of November	Written Mid Year Performance Review
Last Working Day of April	Written Performance Evaluation

The Fort Lewis College PPS task force considered implementation of 360-degree feedback. However, the task force chose not to require this method of evaluation due to the small number

of staff within many departments. Supervisors are encouraged to use more than one means of collecting information to evaluate employees including self-evaluation done by the employee.

Teamwork can be measured as a component of an individual's performance plan and awards (both base and non-base) proportioned accordingly.

The Fort Lewis College Performance Pay System documents are provided both electronically and in hard copy format.

## **II. Fort Lewis College Mission Statement**

The following mission statement has been adopted by the Board of Trustees for Fort Lewis College, the governing body of the College.

The mission of Fort Lewis College is to open minds and kindle thought and action by instilling in students knowledge, a desire to acquire knowledge, the tools for doing so, and an understanding of how knowledge can be put to use for a common good. The experiences students have here should help them learn to live wisely and should make a significant difference in their futures by enabling them to pursue their own educational goals throughout their lives. They should be able to demonstrate thoughtful scholarship in pursuing and weighing knowledge. They should be able to communicate and cooperate with others. The College should also play an active role in the community and the region as a multifaceted learning resource.

Fort Lewis College has chosen to pursue its mission via its historic role as an undergraduate, public, four-year liberal arts college. Because of the liberal arts focus, we require common general studies courses which include the fine arts, humanities, social sciences, mathematics, and the natural sciences in addition to more specialized junior and senior courses offered through the various majors. Our curriculum is designed both to ensure that students understand the values and assumptions implicit in their major fields of study and to prepare them for a rapidly changing world.

The College's first obligation is to create a personalized learning environment in which faculty and staff are accessible to all of its students. Therefore excellence in classroom teaching is our first priority. We are committed to hiring experienced faculty and professional staff dedicated to teaching and to working directly with students. The College also supports and encourages research, scholarly inquiry and creative performance by its faculty in order to enhance their work with students and the students' own work. We will continue to acquire the resources necessary to fulfill our primary mission.

It is essential to Fort Lewis College's mission that we contribute to the cultural diversity and economic development of the Four Corners region. To play an active role in the community, state and region, we must ensure that our programs fulfill the needs of our student population and the residents of our area. Our ethnic and regional heritage must be reflected in the make-up of our student body, in our special programs, and in our curriculum. Because of terms established in the original charter of the College, we have an honored tradition of providing tuition-free education for American Indian students. The College will continue to enhance educational opportunities for other minority groups, especially those originating in the Southwest. While a large percentage of our students should continue to come from Colorado, the College will encourage enrollment of students from other regions and from abroad in order to provide a diversified student body.

### **III. Performance Management and Appraisal Documents**

The following documents will be used to complete the Performance Management Program at Fort Lewis College:

- Performance Plan and Evaluation Document Form
- Performance Factors
- Additional Factors Form
- Overall Rating Calculation Form
- Mid-Year Performance Plan Review Form
- Performance Management Program Instructions
- Definition of Ratings

**FORT LEWIS COLLEGE**  
**Performance Plan and Evaluation Documentation**

**GENERAL INFORMATION**

Rating Period \_\_\_\_\_ To \_\_\_\_\_  
Name \_\_\_\_\_ Agency Name \_\_\_\_\_  
Classification \_\_\_\_\_ Orgn. Number \_\_\_\_\_  
Soc. Sec. Number \_\_\_\_\_ Position Number \_\_\_\_\_

**PERFORMANCE PLAN**

The employee has been provided a *Performance Plan*. Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_

I, \_\_\_\_\_,  agree  disagree with the *Performance Plan*.

Employee Signature

Employee should explain disagreement in the narrative section below.\*

**MID-YEAR PERFORMANCE PLAN REVIEW**

Date \_\_\_\_\_

Supervisor Comments \_\_\_\_\_

Employee Comments \_\_\_\_\_

Supervisor Signature \_\_\_\_\_

Employee Signature \_\_\_\_\_

**PERFORMANCE EVALUATION**

The OVERALL performance rating for the entire period was: (check one)

Needs Improvement  Proficient  Commendable  Peak Performer

Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_

I, \_\_\_\_\_,  agree  disagree with the Performance Evaluation.

Employee Signature

Employee should explain disagreement in the narrative section below.\*

Date \_\_\_\_\_

Reviewer's Signature \_\_\_\_\_

The employee may have the right to a third review of this process. Contact the Director of Human Resources within 3 working days at 247-7429 for instructions if you intend to use the Dispute Resolution process.

**\*Narrative Section** (Attach additional sheets if necessary.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## FORT LEWIS COLLEGE Performance Factors

The following Performance Factors are to be used as appropriate for each employee's job; additional factors may be written for job-specific needs. Any Needs Improvement or Peak Performer rating must be explained in the supervisor's comments section. Additional sheets may be attached to include written performance factors, employee comments, or additional supervisor comments. Completion of Employee Section is optional.

<b>Management:</b> Develops, evaluates and implements processes necessary for efficient and effective operation of job procedures including budget control and scheduling. Identifies problems, seeks appropriate input, develops solutions and recommends plan to improve processes. Collects data to support recommendations or decisions.	Weight	<input style="width: 40px; height: 20px;" type="text"/>										
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Needs</td> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Peak</td> <td style="width: 20%;"></td> </tr> <tr> <td></td> <td style="text-align: center;">Improvement</td> <td style="text-align: center;">Proficient</td> <td style="text-align: center;">Commendable</td> <td style="text-align: center;">Performer</td> </tr> </table>		Needs		Peak			Improvement	Proficient	Commendable	Performer	Supervisor's Comments	
	Needs		Peak									
	Improvement	Proficient	Commendable	Performer								
Employee	<input style="width: 30px; height: 20px;" type="text"/>											
Supervisor	<input style="width: 30px; height: 20px;" type="text"/>											

<b>Problem Solving/Reasoning:</b> 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, and the ability to take timely action.	Weight	<input style="width: 40px; height: 20px;" type="text"/>										
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Needs</td> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Peak</td> <td style="width: 20%;"></td> </tr> <tr> <td></td> <td style="text-align: center;">Improvement</td> <td style="text-align: center;">Proficient</td> <td style="text-align: center;">Commendable</td> <td style="text-align: center;">Performer</td> </tr> </table>		Needs		Peak			Improvement	Proficient	Commendable	Performer	Supervisor's Comments	
	Needs		Peak									
	Improvement	Proficient	Commendable	Performer								
Employee	<input style="width: 30px; height: 20px;" type="text"/>											
Supervisor	<input style="width: 30px; height: 20px;" type="text"/>											

<b>Competence/Responsibility:</b> Exhibits and applies professional/technical knowledge of procedures including current updates, policies, and interpretations; 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.	Weight	<input style="width: 40px; height: 20px;" type="text"/>										
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Needs</td> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Peak</td> <td style="width: 20%;"></td> </tr> <tr> <td></td> <td style="text-align: center;">Improvement</td> <td style="text-align: center;">Proficient</td> <td style="text-align: center;">Commendable</td> <td style="text-align: center;">Performer</td> </tr> </table>		Needs		Peak			Improvement	Proficient	Commendable	Performer	Supervisor's Comments	
	Needs		Peak									
	Improvement	Proficient	Commendable	Performer								
Employee	<input style="width: 30px; height: 20px;" type="text"/>											
Supervisor	<input style="width: 30px; height: 20px;" type="text"/>											

<b>Accountability/Professional Conduct:</b> 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 job. Seldom needs to be reminded. Is fully ready to work at beginning of work schedule and continues until work day is done. Makes appropriate arrangements when adverse weather conditions or other problems might cause a delay in arriving at work on time. Does not abuse leave practices.	Weight	<input style="width: 40px; height: 20px;" type="text"/>										
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Needs</td> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Peak</td> <td style="width: 20%;"></td> </tr> <tr> <td></td> <td style="text-align: center;">Improvement</td> <td style="text-align: center;">Proficient</td> <td style="text-align: center;">Commendable</td> <td style="text-align: center;">Performer</td> </tr> </table>		Needs		Peak			Improvement	Proficient	Commendable	Performer	Supervisor's Comments	
	Needs		Peak									
	Improvement	Proficient	Commendable	Performer								
Employee	<input style="width: 30px; height: 20px;" type="text"/>											
Supervisor	<input style="width: 30px; height: 20px;" type="text"/>											

## FORT LEWIS COLLEGE Performance Factors

**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 plans when necessary. Self-starter. Displays positive attitude in work assignments and interactions with others.

Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Job Knowledge/Potential:** Possesses knowledge of established policies and procedures. Possesses sufficient skill 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.

Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Planning & Organizing:** Develops objectives, plans and procedures. Controls project time, personnel and design of projects. Sets appropriate deadlines, checkpoints and meets them. Coordinates with others to establish and implement plans; maintains flexibility to meet change. Makes good judgments about time allocation and resources required.

Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Communications:** Presents ideas effectively in formal and informal situations. Seeks and considers ideas from others on issues that affect them. Keeps supervisor and co-workers informed. Prepares written documents which are complete, clear and understandable. Listens well and asks appropriate questions.

Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

## FORT LEWIS COLLEGE Performance Factors

**Interpersonal Skills/Teamwork:** 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. Shares information, credit and opportunities when appropriate. Displays an appropriate balance between personal effort and team effort . Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Customer Service:** Answers requests for information promptly and courteously. Determines needs of customers through effective questioning. Provides prompt, friendly service to internal/external customers. If unable to satisfy customer needs, explains why in a professional manner. Determines and offers alternatives to customers when applicable. Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**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. Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Supervision:** 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 appraisals for employees; develops goals, objectives and deadlines and communicates them to employees; resolves routine personnel issues or problems; adheres to institution's affirmative action principles and policies. Weight

	Needs Improvement	Fully Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Customized Factors as desired** (add as many factors with weight assigned as necessary - attach additional sheets as needed).

FORT LEWIS COLLEGE

Additional Customized Factors Page

Customized Factors may be added with weights assigned as necessary.

Factor Name: \_\_\_\_\_ Description: \_\_\_\_\_  Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Factor Name: \_\_\_\_\_ Description: \_\_\_\_\_  Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Factor Name: \_\_\_\_\_ Description: \_\_\_\_\_  Weight

	Needs Improvement	Proficient	Commendable	Peak Performer	Supervisor's Comments
Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Fort Lewis College**

**Mid-Year Performance and Performance Plan Review**

Employee Name _____	ID Number _____
Signatures:	
Employee _____	Supervisor _____
	Rating Period _____ to _____
<b>Performance Factor:</b> _____	

## FORT LEWIS COLLEGE Overall Rating Calculation

Employee \_\_\_\_\_ Supervisor \_\_\_\_\_ Rating Period \_\_\_\_\_ to \_\_\_\_\_

Performance Plan		Comments	Evaluation				Total Points (Weight X Rating)
Performance Factor	Weight		Rating				
			NI = 1	P = 2	C = 3	PP = 4	
MUST TOTAL	100		TOTAL POINTS				

Conversion Table (from total points earned to overall rating level):

- 100-150 Needs Improvement
- 151-250 Proficient
- 251-350 Commendable
- 351-400 Peak Performer

OVERALL RATING LEVEL (select only one)

Needs Improvement     
  Proficient     
  Commendable     
  Peak Performer

**Narrative Explanation** - required for Needs Improvement and Peak Performer ratings. Employee strengths and/or areas for development may be addressed in this section. (Attach additional sheets if necessary.)

---



---



---



---

# FORT LEWIS COLLEGE

## Performance Management Instructions

### Dispute Resolution Process

In 2000, the State of Colorado adopted the Performance Pay System (PPS), a compensation system linking classified employees' pay to performance. The two primary components of PPS are performance management and performance-based pay. These instructions were designed by a task force of Fort Lewis College employees and set forth the performance management requirements of PPS.

Forms necessary to carry out those requirements are:

**Performance Plan and Evaluation Documentation** - used for signatures and completed after each phase of the performance management process.

**Overall Rating Calculation** - used to (1) record performance factors and assign weights selected in the planning session, and (2) record evaluation ratings and calculate an overall rating level.

**Performance Factors** - individual performance factors utilized as appropriate for each employee's job.

**The Performance Management Reference Guide contains detailed instructions and guidelines. Supervisors are encouraged to review the Reference Guide prior to performance planning and evaluation.**

Performance management is an annual process in which classified employees and their supervisors progress through three interconnected phases: **planning, coaching/feedback, and evaluation**. The annual rating period begins March 1 and ends February 28. Rating periods for new hires start the date employment begins and ends February 28.

**I. Planning:** A *performance plan* must be developed during a planning session with the supervisor and employee. This planning session must occur within 30 days (generally March 31) of the beginning of the rating period. During the planning session:

- Select Performance Factors and assign weights (totaling 100) to those Factors. (These factors and weights will be used in the employee's final evaluation at the end of the rating period.) **The Communication, Accountability/Professional Conduct, Job Knowledge/Potential, Interpersonal Skills/Teamwork, and Customer Service factors must be included as factors in each employee's performance plan and evaluation.** These factors are considered uniform statewide core competencies for all classified staff employees.
- Enter selected Factors and assigned weights in the Performance Plan section of the Overall Rating Calculation form.
- The supervisor and employee must sign the Performance Plan section of the Performance Plan and Evaluation Documentation form.
- A copy of all completed and signed performance management documents applicable to the employee's *performance plan* (Documentation, Calculation, and Performance Factors forms) must be sent to the Office of Human Resources no later than March 31.

**II. Coaching/Feedback:** This is the process of collecting information about the level of employee's performance and providing coaching. The supervisor should use multiple sources of information. At a minimum, this phase will include a review of the *performance plan* and completion of the Mid-Year Performance Plan Review section of the Performance Plan and Evaluation Documentation form. A copy of the signed Documentation

form along with any verifying information used in the review process must be returned to the Office of Human Resources when completed.

**III. Evaluation:** During the *performance evaluation* process, the supervisor rates the employee's performance on each factor selected during the planning session.

- The supervisor must evaluate the employee's performance based on the *performance plan* within 30 days (by April 30) of the end of the rating period. Four ratings will be used: Needs Improvement, Proficient, Commendable, and Peak Performer. (See Performance Management Reference Guide for definitions of these ratings.)
- Any Performance Factor with a Needs Improvement or Peak Performer rating must have a narrative explanation.
- The supervisor must complete the Overall Rating Calculation form. An overall rating level is assigned based on the total number of points calculated using the conversion table. If the overall rating is Needs Improvement, a written performance improvement plan must be put in place. If the overall rating is Peak Performer, written justification must be included in the narrative section.
- Both employee and supervisor complete the Performance Evaluation section of the Performance Plan and Evaluation Documentation form.
- A *review* of the employee's evaluation must occur, generally by the next level supervisor.
- The reviewer must sign the Performance Evaluation section of the Performance Plan and Evaluation Documentation form.
- The "original" of all completed and signed performance management documents (Documentation, Calculation, and Performance Factors forms) must be returned to the Office of Human Resources no later than April 30.

**IV. Dispute Resolution Process:** The dispute resolution process is a problem solving, quality-assurance process, rather than an adversarial process. It is not an appeal or grievance; it is designed to resolve only issues related to the performance plan or evaluation. To preserve the purpose and content of the dispute resolution process, neither party has a right to legal representation, although each may have an advisor at any step in the process. Both parties are expected to represent and speak for themselves. Decision makers are limited to addressing facts surrounding current action and shall not substitute their judgment for that of rater, but may instruct raters to follow the agency plan, correct error, reconsider a performance rating or plan or other appropriate action. Decision makers cannot render decisions that would alter the Fort Lewis College Performance Pay System

#### *Guidelines*

It is advised that the employee and supervisor schedule an informal meeting to resolve the performance plan or evaluation disagreement. This meeting should be scheduled within two (2) working days after the employee initially receives the performance plan or evaluation. Disputes regarding disagreements of an award must be made known within 2 working days of notification of the award. The employee should bring any supporting documentation, which may aid the supervisor's decision. At the end of this meeting, the employee and supervisor should sign the performance evaluation or plan to acknowledge that it has been received. If the employee and supervisor are unable to come to agreement during this meeting, or if they are unable to meet, the employee may initiate the dispute resolution process.

The employee and supervisor each have a responsibility ("burden") in the process:

- The employee bears the burden of proof because he or she is the party who requests a review. The employee needs to provide proof or support that a problem exists.
- The supervisor provides a response to explain the decisions he or she made about the employee's performance.

PPS rules allow an internal review to be requested based on the following:

- The employee's individual performance plan, including weights, performance objectives or lack of a plan.
- The employee's own individual performance rating during the final evaluation process.
- Application of the Fort Lewis College performance plan, policies or processes to the individual employee's performance plan and/or final evaluation.
- Disagreement regarding full payment of award.

The following issues are NOT disputable:

- The content of the FLC PPS plan.
- Matters related to funds appropriated.
- The performance evaluations and awards of other employees.
- The amount of a performance salary adjustments, including whether it is base or non-base building, any combination or none (if relevant to new pay plan), unless the issue involves the application of the Fort Lewis College plan.

An external review, administered by the State Personnel Director, may be requested in two situations:

- Application of the institutional performance plan, policies or processes.
- Disagreements regarding full payment of an award.

Employees will be given written notice after the internal process that they may submit a written request to the State Personnel Director to begin the external process provided the dispute concerns the application of the FLC PPS program or full payment of an award. The external review must be requested within 5 working days of the final internal decision. It must include a copy of the original issues and the college's final decision. The notice should include deadlines for filing, list of what must be included in the request, and the address for filing.

#### *Procedures*

***The Fort Lewis College Appointing Authority shall be the final decision maker in the internal dispute resolution process. All employees must be notified as to their final decision maker.***

The following procedure is to be used for internal reviews. The entire process (steps 1-3) must take no longer than 30 working days.

- If the employee disagrees with the weights assigned to the performance factors during the planning process, the individual performance objectives assigned during the planning process, the performance evaluation, the application of the agency plan or the final payment of the award, the employee may request in writing to the second level supervisor within two (2) working days of signing the performance evaluation or plan receiving notification of award or of non-payment of award. Employees who believe that there has been a misapplication of the institutional performance plan, policies or process or who disagree about full payment of an award may also request review of the issue in writing to the second level supervisor within two days after the disagreement became known. The employee's request should:
  - Contain specific examples of his/her disagreement with the evaluation or plan.
  - Indicate what remedy the employee is seeking with regard to his/her performance evaluation (i.e. a change in the rating, reconsider a factor score, etc).
  - Include all pertinent documentation related to the dispute necessary to substantiate his/her claim.

- ***Disputes with the supervisor outside of the performance evaluation will not be taken into account at this time.***
- A copy of the request must be sent to the supervisor. The second level supervisor may meet with the concerned parties at his/her discretion but must render a decision in writing and deliver to the employee within five (5) working days of the date the request was received.
- If the employee does not agree with the decision of the second level supervisor, the employee, may file a request to the Appointing Authority using the process and time lines listed above. ***The employee may not add any additional items to be considered at the third step of the dispute resolution process.*** The Appointing Authority's decision must be in writing and made within five (5) working days of the date the request was received.
- Except for items that can go on to an external review, the decision of the Appointing Authority is final.

A description of the internal dispute resolution process including timelines will be given to employees annually.

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

*Dispute Resolution Timeline*

**Day 1**– Date plan in place or should have been in place.\*\*

**Day 3** – Informal meeting with supervisor.

**Day 5** – Notice of Intent to Dispute filed with the Supervisor, Division Director, and Office of Human Resources/Equal Opportunity.

**Day 10** – Employee files Dispute documentation with the Supervisor, Division Director, and Human Resources/Equal Opportunity. (If the employee fails to timely file this documentation, the dispute shall be considered abandoned and the case will be closed. The Human Resources/Equal Opportunity Office will send notice of the case closure to the employee and all other persons originally listed in the Notice of Intent to Dispute. The employee will have three working days from the date of the closure notice to make a written request that the case be re-opened. Human Resources will only re-open a case upon good cause shown by the employee.)

**Day 15** – Supervisor files dispute response with documentation to: Employee, Division Director, and Human Resources/Equal Opportunity. (If the Supervisor decides NOT to file a response, s/he will send written notification to the Employee, Division Director, and Human Resources/Equal Opportunity Office indicating that there will be no response. The Supervisor may NOT introduce such responsive documentation after the stated deadline unless allowed to do so by the reviewer.)

**Day 18** – Employee files request to Appointing Authority if situation is not resolved at step 2. Human Resources/Equal Opportunity must be copied on the request.

**Day 23** – Written decision issued by Appointing Authority to participating parties, Human Resources/Equal Opportunity, Division Director, and Executive Director.

**Day 30** – Deadline to file with State Personnel Director for external review.

\*\*Day 1 can also be the day the employee signs the performance evaluation, the date the employee discovers a disagreement about the application of the institutional performance plan, policies or process or a disagreement about

full payment of an award, the date the agency distributes awards, or the date the parties agree the final payment should be made. This depends upon which of the four areas are in dispute. Please refer to the model.

**State mandated PPS sanctions:** If a supervisor fails to develop a *performance plan* or do a *performance evaluation*, the reviewer develops the plan and/or does the evaluation. If neither the supervisor nor the reviewer develops the plan or does the evaluation, the responsibility for completion of the plan or evaluation moves up the supervisory chain until completed. Classified supervisors who fail to establish a *performance plan* or do a *performance evaluation* for an employee are not eligible for PPS awards. Additionally, all supervisors (including faculty and exempt) who fail to do a *performance evaluation* are subject to action under CRS 24-50-118 (loss of one week's pay). If no evaluation has been done, the employee must receive a rating of no less than "Proficient," or Level 2, until the rating is resolved by the dispute resolution process.

## Fort Lewis College Definitions of Performance Ratings

**Needs Improvement** – This rating encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

**Proficient** – This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

**Commendable** – This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

**Peak 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.

## IV. Dispute Resolution Process

### *Basic Philosophy*

The dispute resolution process is a problem solving, quality-assurance process, rather than an adversarial process. It is not an appeal or grievance; it is designed to resolve only issues related to the performance plan or evaluation. To preserve the purpose and content of the dispute resolution process, neither party has a right to legal representation, although each may have an advisor at any step in the process. Both parties are expected to represent and speak for themselves. Decision-makers are limited to addressing facts surrounding current action and shall not substitute their judgment for that of rater, but may instruct raters to follow the agency plan, correct error, reconsider a performance rating or plan or other appropriate action. Decision makers cannot render decisions that would alter the Fort Lewis College Performance Pay System

### *Guidelines for the Process*

It is advised that the employee and supervisor schedule an informal meeting to resolve the performance plan or evaluation disagreement. This meeting should be scheduled within two (2) working days after the employee initially receives the performance plan or evaluation. Disputes regarding disagreements of an award must be made known within 2 working days of notification of the award. The employee should bring any supporting documentation, which may aid the supervisor's decision. At the end of this meeting, the employee and supervisor should sign the performance evaluation or plan to acknowledge that it has been received. If the employee and supervisor are unable to come to agreement during this meeting, or if they are unable to meet, the employee may initiate the dispute resolution process.

The employee and supervisor each have a responsibility ("burden") in the process:

- The employee bears the burden of proof because he or she is the party who requests a review. The employee needs to provide proof or support that a problem exists.
- The supervisor provides a response to explain the decisions he or she made about the employee's performance.

PPS rules allow an internal review to be requested based on the following:

- The employee's individual performance plan, including weights, performance objectives or lack of a plan.
- The employee's own individual performance rating during the final evaluation process.
- Application of the Fort Lewis College performance plan, policies or processes to the individual employee's performance plan and/or final evaluation.
- Disagreement regarding full payment of award.

The following issues are NOT disputable:

- The content of the FLC PPS plan.
- Matters related to funds appropriated.
- The performance evaluations and awards of other employees.
- The amount of a performance salary adjustments, including whether it is base or non-base building, any combination or none (if relevant to new pay plan), unless the issue involves the application of the FLC plan.

An external review, administered by the State Personnel Director, may be requested in two situations:

- Application of the institutional performance plan, policies or processes.
- Disagreements regarding full payment of an award.

Employees will be given written notice after the internal process that they may submit a written request to the State Personnel Director to begin the external process provided the dispute concerns the application of the FLC PPS program or full payment of an award. The external review must be requested within 5 working days of the final internal decision. It must include a copy of the original issues and the college's final decision. The notice should include deadlines for filing, list of what must be included in the request, and the address for filing.

### *Procedures*

The Appointing Authority shall be the final decision maker in the internal dispute resolution process. All employees must be notified as to their final decision maker.

The following procedure is to be used for internal reviews. The entire process (steps 1-3) must take no longer than 30 working days.

1. If the employee disagrees with the weights assigned to the performance factors during the planning process, the individual performance objectives assigned during the planning process, the performance evaluation, the application of the agency plan or the final payment of the award, the employee may request in writing to the second level supervisor within two (2) working days of signing the performance evaluation or plan receiving notification of award or of non-payment of award. Employees who believe that there has been a misapplication of the institutional performance plan, policies or process or who disagree about full payment of an award may also request review of the issue in writing to the second level supervisor within two days after the disagreement became known.

The employee's request should:

- Contain specific examples of his/her disagreement with the evaluation or plan.
- Indicate what remedy the employee is seeking with regard to his/her performance evaluation (i.e. a change in the rating, reconsider a factor score, etc).

- Include all pertinent documentation related to the dispute necessary to substantiate his/her claim.

***Disputes with the supervisor outside of the performance evaluation will not be taken into account at this time.***

A copy of the request must be sent to the supervisor. The second level supervisor may meet with the concerned parties at his/her discretion but must render a decision in writing and deliver to the employee within five (5) working days of the date the request was received.

2. If the employee does not agree with the decision of the second level supervisor, the employee, may file a request to the Appointing Authority using the process and time lines listed below. ***The employee may not add any additional items to be considered at the third stage of the dispute resolution process.*** The Appointing Authority's decision must be in writing and made within five (5) working days of the date the request was received.
3. Except for items that can go on to an external review, the decision of the Appointing Authority is final.

A description of the internal dispute resolution process including timelines will be given to employees annually.

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

## Dispute Resolution Timeline Narrative

**Day 1** – Date plan in place or should have been in place.\*\*

**Day 3** – Informal meeting with supervisor.

**Day 5** – Notice of Intent to Dispute filed with the Supervisor, Division Director, and Human Resources/Equal Opportunity Office.

**Day 10** – Employee files Dispute documentation with the Supervisor, Division Director, and Human Resources/Equal Opportunity. (If the employee fails to timely file this documentation, the dispute shall be considered abandoned and the case will be closed. The Human Resources/Equal Opportunity Office will send notice of the case closure to the employee and all other persons originally listed in the Notice of Intent to Dispute. The employee will have three working days from the date of the closure notice to make a written request that the case be re-opened. Human Resources/Equal Opportunity will only re-open a case upon good cause shown by the employee.)

**Day 15** – Supervisor files dispute response with documentation to: Employee, Division Director, and Human Resources/Equal Opportunity. (If the Supervisor decides NOT to file a response, s/he will send written notification to the Employee, Division Director, and Human Resources/Equal Opportunity Office indicating that there will be no response. The Supervisor may NOT introduce such responsive documentation after the stated deadline unless allowed to do so by the reviewer.)

**Day 18** – Employee files request to Appointing Authority if situation is not resolved at step 2. A copy of the request must be sent to Human Resources/Equal Opportunity.

**Day 23** – Written decision issued by Appointing Authority to participating parties, Human Resources/Equal Opportunity, Division Director, and Executive Director.

**Day 30** – Deadline to file with State Personnel Director for external review.

\*\*Day 1 can also be the day the employee signs the performance evaluation, the date the employee discovers a disagreement about the application of the institutional performance plan, policies or process or a disagreement about full payment of an award, the date the agency distributes awards, or the date the parties agree the final payment should be made. This depends upon which of the four areas are in dispute. Please refer to the model.

## V. Communication and Training

The Fort Lewis College PPS Task Force has developed a training subcommittee that implemented the CPP training program. The training subcommittee is made up of the Vice President for Finance and Administration (who is also the FLC Appointing Authority), the Director of Human Resources, the Director of the Program for Academic Advancement and the President of the Employee Council. The subcommittee has implemented a training program which included:

- Four informational meetings for Durango area classified employees held at FLC with staff of the State Department of Personnel.
- Training for supervisors on performance management in June 1998. This session was 8 hours in length, and was required for supervisors of classified employees.
- Ten sessions were conducted during January and February 1999 on performance planning. Attendance at this training was required of all supervisors and permanent classified employees. The sessions grouped members of each allocation unit together and required a minimum of two hours for each session. Each employee and supervisor was given a copy of the FLC Performance Management Program Reference Guide.
- Seven sessions were conducted during June, July, August and September 1999 on "Coaching" for Supervisors, and "Feedback" for non-supervisory employees. These Coaching/Feedback sessions were a minimum of 1.5 hours in length.
- The subcommittee provided several training sessions in January and February 2000 and again in 2001 on conducting performance appraisal meetings and on the dispute resolution process. These sessions will require a minimum of 2 hours each.
- Seven all-classified staff meetings and Brown Bag information sessions have been held to provide information and get feedback on the evaluation model and the funding and allocation model to be used at FLC after they were developed by the Task Force.
- A minimum of 8-12 hours training has been spent per employee.
- The training subcommittee will develop an ongoing training plan that will strive to meet the needs of the employees and of the supervisors at FLC.
- Training is mandatory for all supervisors of classified staff.

The Task Force and the Training subcommittee will continue to develop an ongoing training program, which will address the requirements of the new PPS and meet the needs of our employees and supervisors. A variety of training methods will be used, including the FLC web site, email, and supervisory training meetings scheduled for February 2000 to provide updates on the new program.

Communication of Colorado Peak Performance at FLC was extensive.

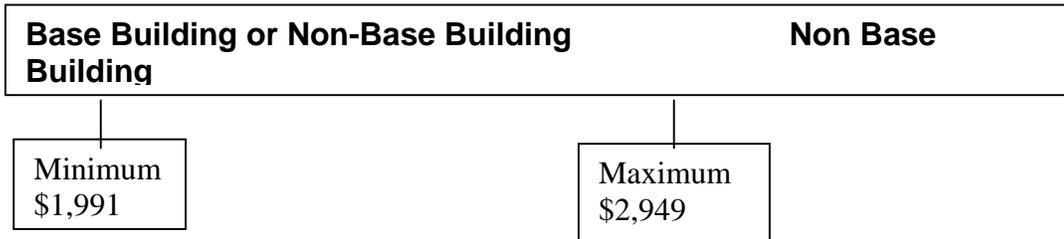
- The Fort Lewis College Human Resources World Wide Web page had a specific section devoted to CPP. This page provides links to the State of Colorado CPP web page as well as links to information about CPP at FLC. The page and links have gradually been converted to PPS. The conversion is now complete.

- An e-mail list is used to provide day-to-day information about PPS, to classified staff and their supervisors.
- The campus newspaper, Skybytes (formerly the Messenger), has done articles on each piece of the CPP plan as it was developed. This process will continue throughout PPS.
- Brown Bag Lunches were scheduled on a regular basis during the initial stages of development of the implementation plan. This process will continue throughout PPS.
- Flyers were distributed to all staff by the FLC Human Resources/Equal Opportunity Office and College Relations Offices to inform employees about the required parameters of CPP. This process will continue by Human Resources throughout PPS.
- Each new employee receives a copy of the FLC Performance Management Program Reference Guide during the orientation. The reference guide will be updated to reflect PPS when final recommendations are available by the first performance salary adjustments on July 1, 2002.
- All of these methods of communication continue to be used and will be a part of the post-pilot evaluation of the FLC Performance Pay System.

## VI. Performance Pay System Glossary of Terms

A clear understanding of the following definitions and guidelines is necessary to implement PPS.

The following illustrates pay ranges for an Administrative Assistant II position:



Employee – A permanent, State of Colorado employee at Fort Lewis College.

Performance Salary Adjustment--Any amount awarded annually to permanent employees who are rated as "Level 2," "Level 3" or "Level 4." No performance salary adjustments are made to employees rated at "Level 1". Prior to the payment of annual performance salary adjustments, the director of the Department of Personnel Administration (DPA) shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding. The President of Fort Lewis College will determine the specific percentage for the salary adjustments within the allowable pay range announced by the director of the DPA. Performance salary adjustment guidelines are outlined in the following table:

**Fort Lewis College Pay for Performance Guidelines**

<i>Evaluation Rating</i>	<i>Amount that may be paid</i>	
	Below Range Maximum of Pay Range	At Range Maximum of Pay Range
Level 1 Needs Improvement	None	None
Level 2 Proficient	Within a percentage range specified by the state personnel director the percentage will be determined by the amount of College funding available for performance adjustments. The amount shall not exceed the maximum of the pay range.	None
Level 3 Commendable	Within a percentage range specified by the state personnel director the percentage will be determined by the amount of College	None

	funding available for performance adjustments. The amount shall not exceed the maximum of the pay range.	
Level 4 Peak Performer	Within a percentage range specified by the state personnel director the percentage will be determined by the amount of College funding available for performance adjustments. The base building amount shall not exceed the maximum of the pay range.	Within a percentage range specified by the state personnel director. Performance salary adjustments are non-base building (bonuses) and must be re-earned each year.

Base Pay --A fixed rate of pay. For classified staff it does not include overtime, shift differential, on-call, call back or other types of premium pay. It does not include any previous non-base building performance salary adjustments.

Base Building--The amount of award added to the employee's base salary for future years.

Non-Base Building--The amount of award that must be re-earned each year. It is not permanently added to the employee's base salary.

Pay Grade --The spread of salaries between minimum and maximum rates for a specific classification.

Performance Based Pay – Pay that is tied directly to an employee's performance evaluation.

Performance Management – The systematic process of linking and aligning organizational resources to execute strategies which are expected to achieve specific, measurable results.

## VII. Funding and Allocation of Performance salary adjustments

### A. Funding

The annual FLC budgeting process will allocate a total dollar amount for PPS performance salary adjustment funding.

### B. Allocation

After performance evaluations are completed a dollar allocation is made to each employee based on the evaluation rating and available performance salary adjustment funding. In certain circumstances, there may be no dollar allocation. See table on page 25 for illustration of awards. The FLC budgeting process will set the numerical percentage amounts for W, X, X+, Y and Y+% each year according to available funding, distribution of ratings and the following eligibility guidelines. The State Personnel Director will recommend the Z% to the legislature during the annual Total Compensation Survey Report. The award percentage for each successive higher level of performance must be greater than the maximum award percentage for the lower level. The minimum award for employees receiving the "Proficient" (Level 2) rating must be more than 0%. Final pay decisions will rest with the appointing authority based on the evaluations completed by raters and reviewers and within budgetary limitations set by the annual FLC budgeting process. All awards shall be base building up to the maximum of the pay range. Any award granted above the maximum of the pay range shall be non-base building. In the event that budgetary limitations dictate that non-base building awards must be granted to employees who are below the maximum of the pay range, **all** awards made that year shall be non-base building. Award percentages will be based on the salaries in effect on the statewide common date of July 1 of each year. **No award is guaranteed. Each employee will receive written notification of his/her award by June 1 of each year.**

#### Award Eligibility and Allocation Guidelines

- **Level 1 performers are not eligible for a performance salary adjustment.**
- **For those below the pay range maximum, Level 2 through Level 4 performers are eligible for base building, non-base building, or a combination of performance salary adjustments.** No base building award can be granted that results in a base salary that exceeds the pay range maximum. For Level 2 and Level 3 performers, a combination of awards cannot be granted that result

in a dollar amount greater than the pay range maximum. Furthermore, only Level 4 performers may, at the discretion of the appointing authority, be granted a non-base building award that results in a dollar amount greater than the pay range maximum.

- **For those currently at the pay range maximum only Level 4 performers are eligible for performance-based awards.** Payment of awards for those at the maximum of their pay range is at the sole discretion of the appointing authority. Level 2 or Level 3 performers at the maximum of the pay range are not eligible for any performance salary adjustment.

## **VIII. Record keeping**

Fort Lewis College will input the Performance Pay System data into the EMPL system and develop a method/tool to track and report performance and award information. The final report will include all information required by the State Personnel Director and will be reported by specified the deadline. This should include:

- Total dollars appropriated for performance salary adjustments for prior fiscal year
- Total amount of those appropriated dollars awarded to employees for performance salary adjustments
- Total amount of dollars awarded for each performance category

## **IX. Evaluation of Performance Pay System Process**

The Performance Pay System task force that developed the plan will continue the high level of communication with employees in evaluation of how the plan is working. Based on analysis of data, recommendations for improvement will be made to the President's Cabinet.