



UNIVERSITY OF  
**NORTHERN**  
**COLORADO**

# **PERFORMANCE MANAGEMENT PROGRAM USER GUIDE**

**Revised March 2016**

# I. OVERVIEW

## **Introduction**

On May 26, 2000 Governor Owens signed Senate Bill 00-211 establishing a pay plan for state employees based on a system of performance evaluation. As a state institution, the University of Northern Colorado is required to implement this system for its state-classified employees.

The University of Northern Colorado Performance Management Program User Guide and the associated performance management system and forms were created in accordance with State of Colorado statutes, the Executive Oversight Committee guidelines, and Rules and Procedures of the State Personnel System. Performance management refers to the whole process of bringing out the best efforts of people and directing those efforts toward meeting the goals of the University. It is much more than completing a performance review each year. It includes a short-term and long-term focus. It incorporates the concepts of coaching, supporting, and developing. It is 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 how's) and the outcomes (the what's).
- Inspires employee commitment through participation.
- Includes training in performance management for every employee.
- 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 the University of Northern Colorado:**

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

### **Benefits to the 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**

Since 1945, state classified employees with the State of Colorado had been paid under a grade and step system. Under this System, salaries were adjusted based on prevailing wages as determined by a salary survey, and merit increases based on longevity and satisfactory job performance. During the 1996 legislative session, HB 96-1262 became law and mandated changes to the way state classified employees receive pay increases. SB 00-211 repealed the statutory language under which Colorado Peak Performance was created and reinstated pre-1996 language. Criteria specified in SB 00-211 states that a performance plan:

- Be simple and understandable to employees in the state personnel system;
- Be cost neutral as compared to the compensation plan in place for the fiscal year ending June 30, 2002, as modified each fiscal year thereafter by personal services appropriations;
- Be developed with input from employees in the state personnel system, managers, and other affected parties;
- Emphasizes planning, management, and evaluation of employee performance; and,
- Includes uniform and consistent guidelines for all state agencies.

Additionally, provisions of SB 00-211 include:

- The plan shall be implemented and coordinated by the Department of Personnel pursuant to guidelines developed by the department and subject to available appropriations.
- The State Personnel Director may authorize state agencies to establish plans for particular agencies to implement the overall performance plan, subject to the director's approval.
- Language mandating a job rate and implementation schedule is repealed.
- Language mandating a dispute resolution process related to performance evaluations that do not result in corrective or disciplinary action is continued.
- Compliance monitoring and reporting requirements are continued.

Annual salary survey adjustments are not affected by SB 00-211.

## **University of Northern Colorado Performance Management Program**

In response to the requirements of SB 00-211, the State Department of Personnel developed the guidelines for implementing a performance management program that provided broad requirements, and directed state agencies and institutions of higher education to develop their own plans. The University of Northern Colorado has developed the UNC Performance Management Program; a system for managing employee performance and awarding pay increases more directly tied to the employee's level of demonstrated performance. It is based on the mission and guiding principles of the University, the strategic plan of the University, the goals and strategies of the various departments, and the individual performance required for success.

Two factors are critical throughout the performance management process: communication between supervisor and employee, and documentation of planning, reviewing, and evaluating. Either the employee

or the supervisor can initiate communication. An employee needs to know about job performance expectations and the supervisor needs to know about issues and new situations. Both employee and supervisor should document events that affect the performance plan, evaluation, and what is being evaluated. The forms developed for the UNC Performance management Program have narrative sections for this purpose.

The UNC Performance Management Program was designed to be collaborative; that is, employee and supervisor work together on developing the performance plan. Here are some alternatives:

- A group of employees who have essentially the same duties could meet together to develop the performance standards/goals/objectives for their job, and then work with their supervisor to refine them;
- The supervisor of such employees could develop the standards/goals/objectives and then meet with the group of employees. However, the supervisor must have individual meetings with each employee, and all employees need to understand the terms of the plan and how they will be evaluated.
- In the event that a supervisor fails to develop a performance plan or conduct the mid-year progress review and/or the final evaluation of a Classified Employee, the responsibility falls to the next level supervisor and on up the employee's chain of command. A default rating of Proficient is awarded 30 calendar days after the final rating deadline and is used for purposes of performance salary adjustment determination. However, the appointing authority may override this default rating.

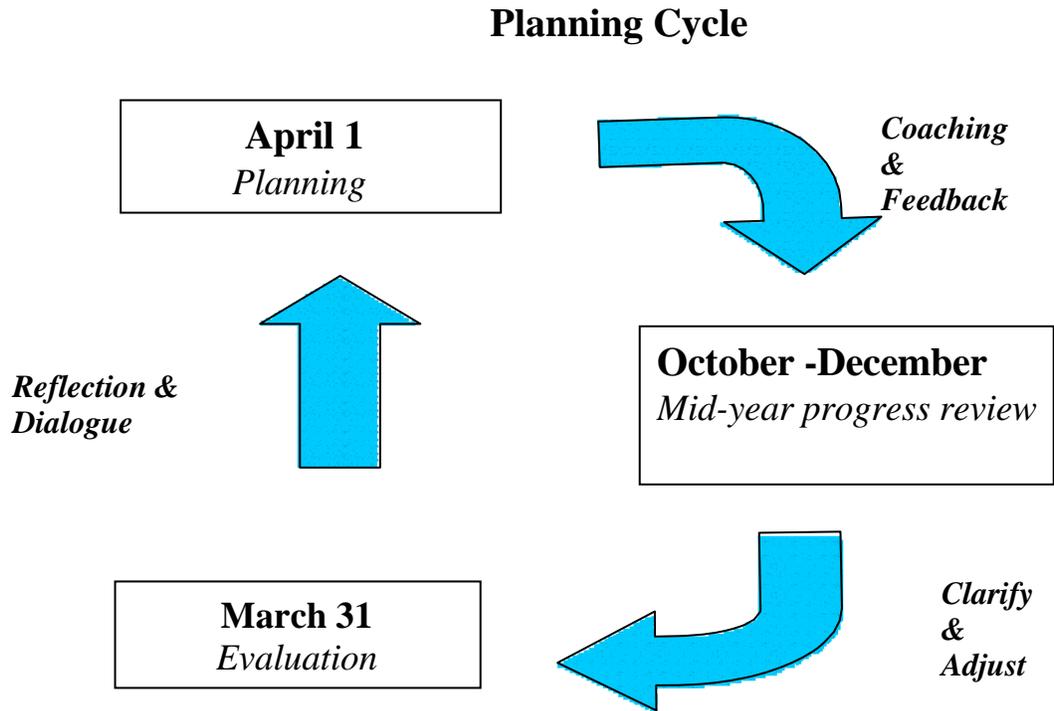
All Classified Employees will be evaluated, in writing, at least annually based on their job performance during the previous year. The University of Northern Colorado's annual evaluation cycle is April 1<sup>st</sup> to March 31<sup>st</sup> of each year. This cycle may be revised due to impact on critical operations. Any revisions to the University's established evaluation cycle must be submitted in writing to the Director of Human Resource Services and approved prior to April 1<sup>st</sup> of each year.

Important dates to remember for the evaluation cycles are as follows:

- Annual Plans for each cycle should be completed by April 30<sup>th</sup> or within 30 days of hire or promotion. Supervisors must send a copy of the signed front page from the evaluation form with signatures from both the employee and supervisor to Human Resource Services by April 30<sup>th</sup>.
- Mid-year Reviews should ideally be completed between October to November to allow adequate time for changes or corrections to goals and/or behavior. Supervisors must send a copy of the signed front page from the evaluation form with signatures from both the employee and supervisor to Human Resource Services by December 30<sup>th</sup>.
- Final Evaluations must be completed and original evaluation packet sent to Human Resource Services by March 31<sup>st</sup>. It is recommended to schedule adequate time for review prior to this date. Based on schedule constraints, supervisors may conduct the evaluations early (i.e. end of February – beginning of March) in order to complete the evaluations in a timely manner. Supervisors should make a copy for their records before sending the original to HRS. A flow chart of this process is listed below.

## Timelines and Reporting Requirements

The UNC performance cycle shall be April 1 to March 31.



## **Payout Timeframe**

Performance evaluations must be completed by the supervisor, all signatures secured, and the evaluation ratings submitted to Human Resources no later than March 31<sup>st</sup>. It is critical that this deadline be met in order to determine available funding for performance salary adjustment payouts. All performance salary adjustments will be finalized and processed through the University's payroll system for July 1<sup>st</sup> implementation and payout with the July 31<sup>st</sup> payroll.

## **Rating Levels**

Three evaluation levels will be used. DPA has identified each rating level as a number (i.e. 1, 2, or 3), however individual department and institution performance programs may use discretion in labeling/titling each of the levels. UNC has chosen the following labels for each rating number: level 1 = Needs Improvement, level 2 = Successful and level 3 = Exceptional. Performance evaluations are qualitative and conform to the following levels:

### **Exceptional (3)**

This rating represents **consistently exceptional** and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance

### **Successful (2)**

This rating level encompasses a range of **expected performance**. It includes employees who are **successfully developing** in the job, employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These **employees are meeting all the expectations, standards, requirements, and objectives** on their performance plan and, on occasion, exceed them. This is the employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

### **Needs Improvement (1)**

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

## **II. PLANNING PROCESS**

The supervisor must complete performance plans no later than April 30th. Normally the evaluation cycle is for one year unless the supervisor elects to evaluate on a shorter cycle. Any variance from the normal cycle must be identified during the planning process. For new employees a performance plan should be developed within 30 days of the date of employment.

Employees who have received promotions, or change jobs, should have performance plans created or modified within 30 days of the date that the change occurs. When a change occurs, the supervisor should conduct a performance review of the previously assigned duties. If an employee terminates employment or is transferred to another department or agency, the supervisor must complete a review of the employee's performance based on established factors prior to the employee leaving the department. If there is a change in supervisor, the new supervisor has 30 days to develop a new plan or re-confirm the previous plan with the employee.

### **Review the Position Description Questionnaire**

All active positions in the classified personnel service at the University of Northern Colorado 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 resources management document. It describes the duties and responsibilities of the position, establishes the essential elements of the position for Americans with Disabilities Act purposes, and is the primary document for determining job classification and, ultimately, compensation. PDQ's should be reviewed and updated as needed to be sure they accurately reflect the duties of the position.

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

A major component of the UNC Performance Management Program is the relationship of a position'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 values and 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.

### **University of Northern Colorado Values Statement**

Values: The University of Northern Colorado believes that its distinctive service to society can only be offered in a student-centered atmosphere of integrity that is grounded in honesty, trust, fairness, respect, and responsibility. For this reason, the University is committed to promoting an environment in which:

1. academic integrity is valued and expected;
2. excellence is sought and rewarded;
3. teaching and learning flourish;
4. diversity of thought and culture is respected;

5. intellectual freedom is preserved; and
6. equal opportunity is afforded.

## **Planning Process**

Every component of the UNC Performance Management Program is intended to foster extensive 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 management Program Planning and Evaluation Form.

For ease of understanding, the performance planning process may be broken down into the following parts:

1. Prepare for the meeting by gathering the necessary materials – a copy of the Position Description Questionnaire (PDQ), the User Guide, and the Performance Management Form.
2. Prior to the first 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.
3. During the meeting, supervisor and employee discuss the PDQ, future standards/goals/objectives, methods of measure, and what will distinguish successful performance from outstanding performance. They also discuss training and development activities that will occur during the appraisal period.
4. Following the meeting, the supervisor is responsible for refining the discussion and preparing the planning section of the Performance Management Form.
5. The supervisor is encouraged to discuss the performance management plan with the reviewer (next level supervisor) prior to meeting with the employee to finalize the plan.
6. The performance plan is finished with a meeting between the supervisor and the employee when the form is finalized, signed, and dated. Any changes can be written on the plan. The supervisor files the original signed plan in appropriate departmental or personal files and the employee is given a copy. A copy of the first page of the evaluation plan (Planning Confirmation and Overall Evaluation Form) is sent to Human Resources.
7. Supervisors are required to complete the planning process no later than April 30<sup>th</sup> of each year. If a supervisor fails to plan and/or evaluate an employee's job performance, the responsibility falls to the next level supervisor and on up the employee's chain of command.
8. Absent extraordinary circumstances, failure to timely plan and evaluate in accordance with the department's established timelines results in a corrective action and ineligibility for a performance salary adjustment for classified supervisors. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the rater must be disciplinarily suspended in increments of one day following pre-disciplinary meeting. Statute provides, in addition, that if any evaluations are not completed by July 1, supervisor may be demoted. If failure to evaluate by July 1 happens for two consecutive years, supervisor shall be demoted to a non-supervisory position. Non- Classified supervisors are subject to similar actions in accordance with Professional Exempt disciplinary procedures.

## Writing Standards/Goals/Objectives

Standards/Goals/Objectives are written statements of expected results. They tell how well a job responsibility (delineated in the PDQ) is to be performed. When written effectively, they are challenging, attainable, observable and measurable. Individual, work-unit, and University goals should be linked to each other.

### **Definitions:**

- Objective: Expressing or dealing with facts or conditions as perceived without distortion by personal feelings, prejudices or interpretations
- Subjective: Modified or affected by personal views, experience or background

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

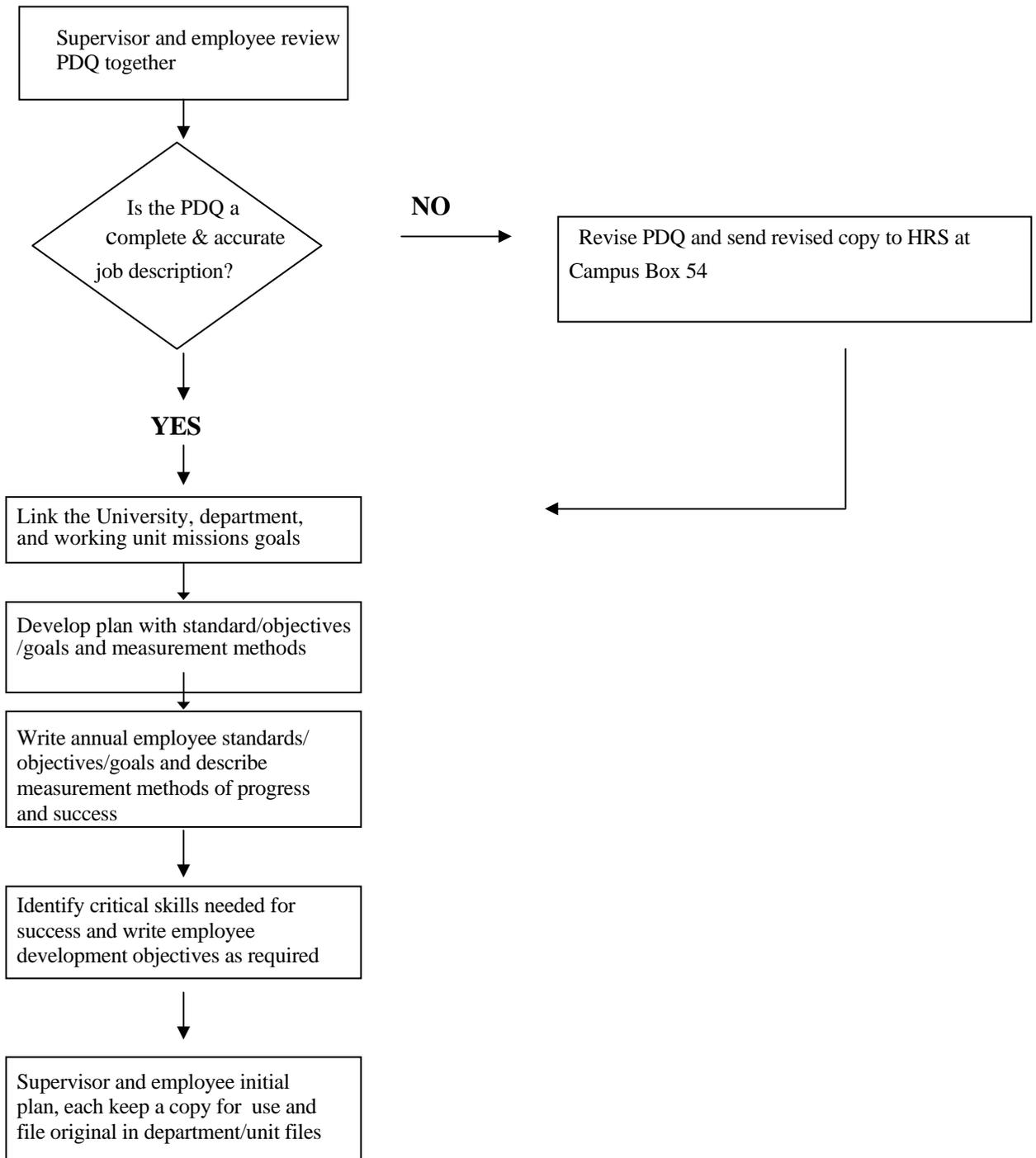
Timed – specify completion and review dates

There are five types of standards/goals/objectives:

- To achieve routine work assignments
- To resolve identified problems
- To support innovation
- For professional development
- To support institutional or departmental goals

The Performance Management Form includes a section titled “Training and Development Plans”. Some employees will be learning and applying knowledge and skills necessary for success on the job. This section has space for identifying training programs and activities that the employee will attend. 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. The training plans can be incorporated into a standard/goal/objective.

## Performance Planning Steps



### **III. COACHING, FEEDBACK AND PROGRESS REVIEW**

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

#### **Some 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 examples of performance whenever they occur. Provide specific feedback, not vague, general observations. Document both good performance as well as poor performances.
- 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. Acknowledge 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 alone.
- 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 feelings. 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?'
- Direct the feedback toward behavior that the employee can control. Frustration is increased when an employee is reminded of some shortcoming over which she or he has no control.
- When dealing with defensiveness, re-focus on the commitment. Don't get caught in the accusation, blame, and defense loop.
- Asking clear and concise questions and using active listening skills are often good ways to move past strong emotions.
- Give concrete examples of what the employee has done; positive and negative. Provide evidence that you are paying attention and committed to recognizing their positive as well as negative results.
- Review your approach before you speak to the employee. First think about how would you feel or respond if you heard this news.

## **Mid-year Progress Review Meeting**

1. Prepare for the meeting. Gather the performance plan, personal notes and records, letters and memos from others, and examples of work. Schedule the meeting with the employee at an available time and in an appropriate meeting room that is private and quiet. This meeting is an opportunity for both supervisor and employee to express thoughts concerning performance, discuss barriers hindering the employee from meeting established goals, and to collectively determine if adjustments should be made to established goals and/or deadlines. The intent of this meeting is to provide an open dialogue between the supervisor and employee without fear and/or intimidation.
2. The supervisor should review the Plan with the employee. Discuss performance standards/goals/objectives to determine where the expectations have been met, exceeded, or improvement is necessary.
3. Adjust the Plan. Adjustments can be made to the performance plan, if necessary, and the supervisor and employee can clarify the expectations.
4. Document the discussion. Using the Performance management Program Planning and Evaluation Form, complete the Mid-Year Progress Review Meeting portion, sign and give a copy to the employee, and retain a copy in the department or personal records file. Make a copy of the signed first page of the evaluation form (Planning Confirmation and Overall Evaluation Form) and send to Human Resources. Mid-Year Progress Review must be completed no later than December 30th of each year.

## **IV. EVALUATION PROCESS**

Employee performance evaluation is the process of assessing and summarizing the work performance of an employee. The evaluation session is the final step of a documented and understood performance plan.

### **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 Salary Adjustments

## **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 feedback from other sources should be discussed with the employee as part of the planning process. Review prior performance evaluations and mid-year update.

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 IX). Before including any information in an evaluation that indicated there was 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.

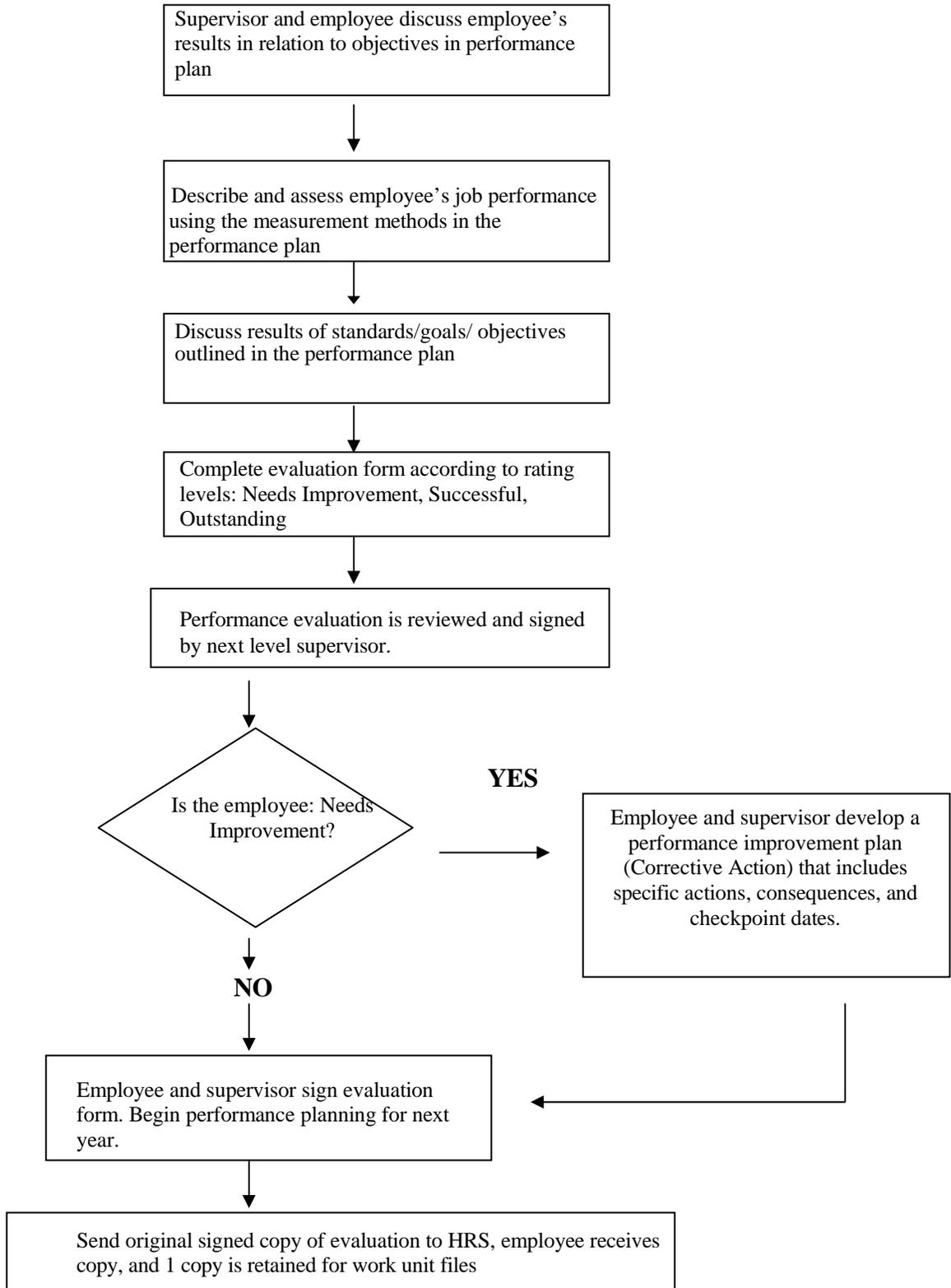
## **Form Completion**

**The written part of the performance evaluation process includes completing the evaluation portions of the Performance Management Form. In so doing, consider these questions:**

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. Has the employee been evaluated using objective measures understanding that some may seem to be subjective in nature?
4. What were the consequences, results, or impact of the performance?
5. 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.**

# 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 in the evaluation cycle or very recent to the final evaluation?”
- **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?”

## **Role of the Reviewer**

- Review the evaluation to ensure that the process conforms to the UNC Performance Management Program guidelines and University policies and procedures. Confirm that there is evaluation consistency across the supervisor’s subordinate employees and consistency across supervisors within the Reviewer’s area of responsibility. Indicate approval of employee’s performance rating by signing in the appropriate area.
- Supervisor finalizes the evaluation, based on the meeting between the supervisor and the reviewer.
- The Reviewer is responsible for developing performance plan, conducting mid-year progress review and final evaluation of employees when the supervisor fails to do so.
- No quotas or forced distribution processes for determining the number of ratings in any of the four performance levels shall be established. Senior Management will review recommended overall ratings for adherence to program policy and guidelines, distribution of ratings, and quality and consistency of rating, including adequate justification of Needs Improvement and Outstanding ratings. This quality review process occurs before ratings are finalized and provided to employees.

## **The Evaluation Session**

What the supervisor should bring to the Evaluation meeting:

- Your copy of the Performance Management Form with 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.
- Some specific examples of times the employee has been successful, and some specific examples of times the employee could have done better.
- Some possible ideas for how the employee might leverage their skills, strengths and talents.
- Some ideas for how the employee might improve their skills and overcome weaknesses, as appropriate.

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 this to the meeting. Ideally, the self-evaluation should be returned to the supervisor prior to the meeting for review.
- Any feedback you have received from your key co-workers or customers.
- Your copy of the Performance Management Form.
- Some specific examples of times you have been successful, and some specific examples of times you could have done better.
- 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 some suggestions for supervisors that will assist in accomplishing the goals of the formal performance evaluation meeting:

- Plan what you will say. Determine the best way to present your points. The emphasis should be 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, concerns, and questions.
  - 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 Performance Management Form with the employee. Begin by providing positive feedback. Point out specific accomplishments, noting how they have contributed to the group's efforts.
  - Discuss areas that need improvement. Ask the employee for suggestions about how to improve performance. Introduce your ideas, as well. 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 – allow the employee to say what needs to be said.
  - 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.
  - If the employee has been rated as "Successful", or "Outstanding", set standards/goals/objectives for the next review session.
  - If the employee has been rated as "Needs improvement", a performance improvement plan or corrective action plan must be done. This plan should include the following:
    - Very specific actions and behaviors that the employee is expected to demonstrate.
    - Consequences for failing to meet these expectations.
    - Specific checkpoint dates.
- NOTE: In the case of a corrective action, the employee must be notified of her/his grievance rights.
- After this meeting, forward the completed form to the reviewer
  - After making any necessary changes to the UNC Performance Management Program Planning and Evaluation Form, ask the employee to sign and date the form, and indicate if he or she agrees or disagrees with the evaluation.

- The supervisor may attach work standards, supplemental performance information, work samples, and additional comments. Inform the employee that comments can be added or attached to the UNC Performance management Program Planning and Evaluation Form.
- The original of the completed form is forwarded to Human Resource Services. A copy is given to the employee and a copy is retained for the work unit's files.

If the employee doesn't agree, refer to section on Dispute Resolution on page 18.

**PLEASE NOTE:**

- If supervisors do not complete plans or evaluations, the responsibility is assigned to the next level supervisor and on up the employee's chain of command. Classified supervisors who fail to establish performance plans for their employees are not eligible for any performance salary adjustments. In the event that the rating deadline passes without an employee being evaluated, a default rating of Proficient is awarded and used for purposes of performance salary adjustment determination. The appointing authority may over ride this default rating.

## **V. SALARY ADJUSTMENTS**

### **Types and Eligibility**

- Uniform Statewide Performance Salary Adjustments: Prior to the payment of annual performance salary adjustments, the director shall specify and publish a percentage for base and non-base achievement pay according to available statewide funding.
- The Appointing Authority will publish criteria if the University would determine to request varying percentages of performance salary adjustments for employees at the same rating level.
- Employees receiving a final overall rating other than level 1-Needs Improvement - are eligible to receive base-building achievement pay up to the maximum of the pay range.

### **Incentive Awards**

The University is cognizant of the importance and desirability of recognizing performance of employees in a variety of ways. While it is know that performance salary adjustments that add to base salary are preferred, it is the policy of the University to encourage and use awards of a non-salary nature to supplement performance salary adjustments. For purposes of this plan these awards are called incentive awards. Employees at the Successful level and above are eligible for non-base cash or non-cash incentive awards regardless of their position in the pay range.

## VI. DISPUTE RESOLUTION PROCESS

Under the University of Northern Colorado Performance Management Program, the direct relationship between performance standards and evaluations and pay rate change has the potential to result in differences of opinion between employees and their supervisor. A notice of the University's internal review process will be provided to all Classified Employees and supervisors annually. This notice will include timelines and the name/position of the Appointing Authority or designee for this process. Every effort should be made by the parties to resolve issues at the lowest possible level in a timely manner. Informal resolution before initiating the dispute resolution process is strongly encouraged.

As addressed in the guidelines issued by the State Department of Personnel, issues that may be in dispute that are to be addressed through this process are:

- The employee's performance plan (or absence of a plan)
- The final evaluation of the employee's performance or lack of final evaluation
- The application of the UNC Performance Management Program plan, policies or processes to the individual employee's performance plan or final evaluation.

NOTE: Disagreements resulting from other facets of the UNC Performance Management Program as outlined below are not reviewable through this process or any other formal Dispute Resolution process. However, departments are encouraged to make sincere efforts in responding to and/or addressing concerns related to these issues.

- The design of the UNC Performance Management Program plan.
- The amount of money available for the UNC Performance Management Program salary adjustments.
- The evaluations of and performance salary adjustments to other employees.
- The amount of the performance salary adjustment granted unless the issue involves the application of the University's performance management program.

In order to ensure the speedy resolution of disputes related to the UNC Performance Management 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 salary adjustments granted under the UNC Performance Management Program are finalized in time for a July 1 implementation each year.

An employee wishing to initiate the process for Dispute Resolution will advise her/his supervisor, using the UNC Performance Management Program Dispute Resolution Form, within three working days of the event, which has resulted in the disagreement. 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 Director of Human Resource Services.

The State Personnel Director retains jurisdiction for disputes related to performance evaluations that do not result in corrective or disciplinary action. The formal dispute resolution process has two stages – internal to the University and external to the Department of Personnel

The Director of Human Resource Services, as delegated appointing authority, serves as the decision maker in the internal dispute resolution process. Decisions are limited to addressing facts surrounding the current action. The decision will not substitute for that of the rater and review but may instruct raters to follow the University's Performance Management Program, correct errors, reconsider a performance rating or plan, or suggest other appropriate processes such as mediation. Decisions cannot be rendered that would alter the

## **Informal Review**

**Initial Review:** Upon receipt of the Dispute Resolution Form, the supervisor will schedule a conference with the employee to discuss the issue(s) presented within five days of receipt of the Form. The conference must be open and impartial and must allow the parties an opportunity to have issues heard. The employee, the employee's supervisor and the person responsible as the "reviewer" within each unit shall attend this conference. In addition, an advisor at this step or any other step in the process may accompany the employee. The role of the advisor is to assist the employee in the process but the employee is expected to present her/his issue(s) in all meetings. The conference must occur within five working days of the date the supervisor receives the written request unless both parties agree to an extension of time, with 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 the UNC Performance Management Program salary adjustments 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.

The supervisor shall provide the employee with a written response to the employee's concerns within three working days of the conclusion of the initial review conference. The response shall reflect the collective conclusions of the supervisor and the reviewer. Copies of the response are to be provided to the same officials receiving the employee's Dispute Resolution Form.

**Final Review:** If the employee is not satisfied with the conclusions presented at the Initial Review stage, he/she must so indicate in writing to the Director of Human Resources within three working days of receipt. Within three working days of receipt of the request to initiate the Final Review, the Director will schedule a conference with the employee and the two supervisory employees involved in the Initial Review.

The Director shall issue his/her written decision within three working days of the conference. The decision issued shall be binding unless the dispute includes allegations that the UNC Performance Management Program's plan was not followed. 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. The employee will be given a written notice from the Director of Human Resources at the conclusion of the internal review process that provides specific information on proceeding to the external review process.

When either the supervisor or reviewer is the Director of Human Resources, then the final stage review will occur at the appropriate Vice-President level.

## **External Review**

The Director of the State Department of Personnel administers this stage. Only those original issues involving the application of management plan to the individual plan and/or evaluation, UNC Performance Management Program salary adjustment may advance to this stage.

1. Within five working days from the date of the agency's final decision, an employee may file a written request for review at Attention: Appeals Processing, 1313 Sherman Street, Room 122, Denver, CO 80203.
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. Such screening is based on specific criteria published by the Director. If a determination is made that further review is not warranted, it is final and binding and the employee will be notified accordingly.
3. If further review is warranted, the Director or designee may select a qualified neutral third party.  
The neutral third party has 30 days to issue a written decision, which is final and binding.
4. For an issue being reviewed at the external stage, these individuals shall not substitute their judgment for that of the rater, reviewer, or the department's dispute resolution decision maker made at the internal dispute stage.
5. In reaching a final decision (in the external stage) these individuals have the authority to instruct a rater to: a) follow agency's program, b) correct an error, or, c) reconsider an individual performance plan or final overall evaluation. They may also suggest other appropriate processes such as mediation.

**Note:** No party has an absolute right to legal representation but may have an advisor present at any and all stages of the Dispute Resolution process. Regardless, the employees are expected to speak for themselves. Retaliation against any person involved in the dispute resolution process is prohibited.

## **VII. TRAINING**

Performance Management training is mandatory for all raters. The Human Resources office is responsible for providing training to employees and supervisors. Current supervisors were required to attend training on the UNC Performance Management Program when the Program was established. Workshops for supervisors are conducted twice a year or more by Human Resource staff and available to all supervisors. New supervisors receive training on the UNC Performance Management Program at the next available Performance Management trainings after beginning employment at the University. Contact Human Resource Services for class information.

## **VIII. REPORTING REQUIREMENTS**

The University will maintain records of all activities related to the evaluation process including completion of individual plans, mid-year progress reviews, final evaluation, and performance salary adjustment eligibility and payouts. This data as well as any other data related to the University's Performance Management Program plan will be provided to the State Personnel Director as required and requested.

## **IX. CHANGING JOBS – TRANSFERS, PROMOTIONS, & DEMOTIONS**

An employee, who transfers, receives promotions, or demotions, will have their performance judged on the basis of the new job, not what they did in their previous job.

### **New Employees**

Employees hired on or before the last working day in December will be evaluated for their partial year of employment and be eligible for base-building performance salary adjustments.

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 base-building performance salary adjustments unless the University determines adequate funding is available.

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

Since the performance management cycle for UNC will generally follow a fixed year cycle for all UNC classified employees, job changes between or within departments as a result of transfers, promotions, reallocations or demotions during this cycle may affect employees' opportunities for base-building salary adjustments as outlined below:

- Position or department changes occurring between April 1<sup>st</sup> and October 31<sup>st</sup> of any year.
  - Base building: The evaluations by the new supervisors/departments will determine eligibility for base-building performance salary adjustments.
- Position or department changes occurring between November 1<sup>st</sup> and March 31<sup>st</sup> of any year:
  - Base-Building salary adjustments: Eligibility for base-building performance salary adjustments (employees not yet at the maximum) will be determined on the basis of the partial year evaluations done by the previous supervisor/department and on the basis of the evaluations by the new supervisor/department. The evaluations will result in a combined salary adjustment amount.

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

- The Human Resource Services Office will generate a notice of the employee's salary adjustment once the University has established the performance salary adjustment amount based on available funding, employee demographics, and distribution of ratings. This notice will be sent to the employee no later than May 31<sup>st</sup> of each year unless funding has not been determined and approved by the University.
- Base-building performance salary adjustment increases will take effect with the July paycheck and will remain a permanent part of the employee's monthly pay. Non-base building performance salary adjustments will be distributed as a single lump sum in the month of July. This payout may be revised in the event that the University budget has not been finalized and approved by July 1.
- A reminder that base-building performance salary adjustments are subject to the normal mandatory payroll deductions
  - An employee granted an annual performance salary adjustment shall not be denied the adjustment because of a corrective or disciplinary action issued for an incident after the close of the previous performance cycle.

## X. GLOSSARY OF TERMS

**Base-building**: A sum of money earned by an employee that increases base pay.

**Base pay**: Salary, excluding any premiums, paid on a fixed, non-variable basis.

**Bonus**: A sum of money, or other compensation, given to an employee in addition to the employee's base pay. It is a form of extra payment over the job rate and must be re-earned annually.

**Classified employee**: An employee of Colorado state government required by the Constitution of the State of Colorado to be covered by the Rules and Procedures of the State Personnel Program.

**Colorado Performance Management**: Generally used as a reference to the performance management, evaluation, and salary adjustment Program for the State Personnel System.

**The UNC Performance Management Program**: The performance management and evaluation program used at University of Northern Colorado.

**Downward movement**: For compensation purposes, changing a position, class, or employee from a class or grade to another with a lower grade (e.g., job evaluation, program maintenance study including class placement, total compensation survey adjustments, and non-disciplinary or disciplinary demotions).

**Lateral movement**: For compensation purposes, changing a position, class, or employee from a class or grade to another that is the same or has the same grade (e.g., job evaluation, program maintenance study including class placement, total compensation survey adjustments, and transfer).

**Non-base building**: A sum of money earned by an employee that must be re-earned annually.

**Non-base pay**: An amount of pay that is not added to an employee's base pay and that must be re-earned.

**Occupational groups**: Ten groupings that contain all of the job classes within the State Personnel System. (1) enforcement and protective services, (2) financial services, (3) health care services, (4) labor/trades/crafts, (5) medical, (6) management, (7) administrative support services, (8) professional services, (9) physical sciences and engineering, (10) teachers. The ten groups are developed based on job evaluation and compensation processes.

**Open range**: A salary range with minimum and maximum salaries.

**Pay plans**: The listing of all pay grades and salary ranges for a specified group of classes in the State Personnel Program. Each occupational group has a unique pay plan.

**Pay range**: The spread of salaries between minimum and maximum rates for a specific class. A pay range is established based on the annual Total Compensation Survey.

**Performance salary adjustment**: For those under pay-for-performance, any salary adjustment awarded annually for employees rated as "Successful", or "Outstanding". Amounts may be base or non-base building.

**Performance-based pay**: Pay that is tied directly to an employee's performance evaluation. Agencies may exercise discretion in administering the amount of performance-pay adjustments under the general

guidelines.

**Performance management:** A collaborative process between the supervisor and employee that is created and implemented to ensure that employee performance is identified, selected, developed, and rewarded. The structure of this process is based on three elements: (1) mission and strategic plan of University of Northern Colorado, (2) mission and strategic plan of the work unit, and (3) performance required for success of the employee and University of Northern Colorado.

**Performance Management Program review process:** Under the UNC Performance management Program, the process used to resolve issues with (1) an employee's performance plan or rating, (2) the application of the agency's performance management and evaluation plan, policies, or processes to the individuals' plan or evaluation, or (3) the full payment of a performance salary adjustment.

**Prevailing wage:** As defined by statute, employees in the State Personnel system are to be compensated according to comparable salaries and fringe benefits prevailing in other places of public and private employment.

**Professional exempt employees:** State employees legally exempt from the State Personnel system.

**Rating levels:** Three performance rating levels exist in the UNC Performance management Program: (1) Needs Improvement, (2) Successful, and (3) Exceptional.

**Salary survey:** See Total Compensation Survey.

**Saved pay rate:** Temporary means of maintaining current base pay during certain situations in which employees are reduced in grade. Such saved pay rates are any amount of base pay above the traditional maximum amount of the grade for the class, up to the statutory lid.

**Total Compensation Survey:** Also known as salary survey. An annual process required by law to establish prevailing wages for employees in the State Personnel System. Third-party survey publications are collected and matched with state classes in order to compare the pay and benefit rates between the labor market and the state.

**Upward movement:** For compensation purposes, changing a position, class, or employee from a class or grade to another with a higher grade (e.g., job evaluation, system maintenance study including class placement, total compensation survey adjustments, and promotion).

**Variable pay:** A compensation component that varies with an employee's performance and is not part of base pay.

## **XI. FORMS**

There are three separate forms to be used in Performance Management.

### **Performance Management Form**

This form shows the overall process and includes spaces for appropriate signatures at the time the plan is established and at the time the mid-year progress review takes place. The Overall Evaluation Rating section must be completed and forwarded to Human Resources by March 31st of each year.

### **Dispute Resolution Form**

This form is to be used by an employee, as applicable.

## **XII. RESOURCES**

### **Call Human Resource Services for support in the UNC Performance Management Program**

- Consult with supervisor and employee in writing a performance plan.
- Answer questions related to performance management, compensation, and dispute resolution

Marshall Parks  
Director of Human Resources and Employee Relations  
Carter Hall #2002  
970-351-2718

### **Online Resources**

#### **Human Resource Services web page: <http://www.unco.edu/hr>**

Provides information on benefits, payroll, employment, classification, records, data systems, training and development, and current information.

#### **State Classified web page: <http://www.colorado.gov/dpa/dhr>**

Information on classification and positions in the state classified system. This site also has a link to the Colorado Department of Personnel, containing links to information pertinent to the Performance management program. Leads to technical assistance, employee pages, information presentations, agency Implementation plans, and resources.

# PERFORMANCE MANAGEMENT FORM – CLASSIFIED EMPLOYEE



Performance Cycle: \_\_\_\_\_ to \_\_\_\_\_

Employee Name: _____		
Job Class: _____	Position #: _____	
Department: _____	Unit/Team: _____	
Supervisor: _____	Position #: _____	Title: _____

**PERFORMANCE PLANNING** (due by April 1 or within 30 days of appointment, e.g. hire, promotion, transfer, new assignment)

-Review current Position Description Questionnaire and update if needed  
 -Establish and discuss individual objectives.

I  Agree OR  Disagree with plan (attach written explanation for disagreement)

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
 Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**COACHING AND PROGRESS REVIEWS**

3-Month Review Date (Optional): _____	Employee Initials: _____	Supervisor Initials: _____
6-Month Review Date (REQUIRED-Due 12/15): _____	Employee Initials: _____	Supervisor Initials: _____
9-Month Review Date (Optional): _____	Employee Initials: _____	Supervisor Initials: _____

**MODIFICATIONS TO THE PLAN**

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

**OVERALL EVALUATION**

- Discuss performance results relative to the performance plan, including accomplishments, performance data and completion of core competencies and objectives.
- Supervisor completes evaluation form including narrative explanation and overall evaluation. Submit the form and rating to reviewer.
- Reviewer approves evaluation and recommended rating or discusses with supervisor.
- Rating reviewed at the department level if recommended rating is Exceptional or Needs Improvement.
- Final evaluation and rating discussed with employee and signed. Signed document due to Human Resources by March 31.

<input type="checkbox"/> EXCEPTIONAL	<input type="checkbox"/> SUCCESSFUL	<input type="checkbox"/> NEEDS IMPROVEMENT*
This rating represents <b>consistently exceptional</b> 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.	This rating level encompasses a range of <b>expected performance</b> . It includes employees who are <b>successfully developing</b> 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 <b>employees are meeting all the expectations, standards, requirements, and objectives</b> 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.	This rating level encompasses those employees whose <b>performance does not consistently and independently meet expectations</b> set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.  *Attach Performance Improvement Plan or Corrective Action.

**Type of Rating:**

Interim Rating     
  Transfer     
  Promotion     
  Change in Supervisor  
 Final Annual Rating  
 Abbreviated Final Rating (only use if employee is hired at UNC within 90 days prior to the end of the performance cycle)

I  Agree OR  Disagree with plan (attach written explanation for disagreement)

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
 Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
 Reviewer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## PART I: CORE COMPETENCIES

**Instructions: Select behaviors that will be evaluated. Identify priorities in order of importance with "1" being the top priority. Please rate according to the following levels of performance. Attach additional pages if needed.**

COMPETENCY		DEFINITION	RATING
<i>Select Priority</i>	<b>JOB KNOWLEDGE/ POTENTIAL</b>	Possesses knowledge of established policies and procedures. Possesses sufficient skills and knowledge to perform all parts of the job effectively and efficiently. Maintains quality/quantity standards. Provides technical assistance to others and is consulted by others on technical matters. Pursues professional development. Displays innovation.	<input type="checkbox"/> <b>Exceptional</b> <input type="checkbox"/> <b>Successful</b> <input type="checkbox"/> <b>Needs Improvement</b>
<i>Select Priority</i>	<b>PROFESSIONAL CONDUCT/ RELIABILITY</b>	Accepts responsibility for all areas of job. Uses time effectively with minimal errors. Completes work thoroughly in a reasonable amount of time. Meets established goals. Works accurately, neatly, and makes suggestions and appropriate changes. Handles conflict in a constructive manner. Willingly accepts supervision. Can consistently be relied on to perform job. Seldom needs to be reminded. Does not abuse leave practices. Conveys positive and professional image of work unit to others.	<input type="checkbox"/> <b>Exceptional</b> <input type="checkbox"/> <b>Successful</b> <input type="checkbox"/> <b>Needs Improvement</b>
<i>Select Priority</i>	<b>MOTIVATION/ COMMITMENT</b>	Displays drive and energy in accomplishing tasks. Handles several responsibilities concurrently. Puts forth effort when needed. Agrees to modify schedule or adapt plans when necessary. Self-starter. Displays positive attitude in work assignments and interactions with others. Is fully ready to work at beginning of work schedule and continues until workday is done.	<input type="checkbox"/> <b>Exceptional</b> <input type="checkbox"/> <b>Successful</b> <input type="checkbox"/> <b>Needs Improvement</b>
<i>Select Priority</i>	<b>COMMUNICATION</b>	Demonstrates effective listening skills. Uses appropriate language and terminology. Speaks in a manner that is understood, courteous, and effective. Seeks and considers ideas from others on issues that affect them. Keeps considerate of the communication skills of others.	<input type="checkbox"/> <b>Exceptional</b> <input type="checkbox"/> <b>Successful</b> <input type="checkbox"/> <b>Needs Improvement</b>
<i>Select Priority</i>	<b>INTERPERSONAL RELATIONS</b>	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.	<input type="checkbox"/> <b>Exceptional</b> <input type="checkbox"/> <b>Successful</b> <input type="checkbox"/> <b>Needs Improvement</b>
<i>Select Priority</i>	<b>PROBLEM SOLVING/ REASONING</b>	Recognizes and analyzes work related problems. Uses available resources to evaluate and recommend potential solutions. Ability to use good judgement to arrive at sound conclusions. Ability to take timely action.	<input type="checkbox"/> <b>Exceptional</b> <input type="checkbox"/> <b>Successful</b> <input type="checkbox"/> <b>Needs Improvement</b>

COMPETENCY		DEFINITION	RATING
<i>Select Priority</i>	<b>CUSTOMER SERVICE</b>	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 and recommends alternatives to customers when needed.	<input type="checkbox"/> <i>Exceptional</i> <input type="checkbox"/> <i>Successful</i> <input type="checkbox"/> <i>Needs Improvement</i>
<i>Select Priority</i>	<b>SAFETY</b>	Aware of job safety procedures. Keeps abreast of changes in safety procedures. Practices safe work habits. Reports possible safety hazards to supervisor. Attends safety-training programs, as appropriate.	<input type="checkbox"/> <i>Exceptional</i> <input type="checkbox"/> <i>Successful</i> <input type="checkbox"/> <i>Needs Improvement</i>
<i>Select Priority</i>	<b>MANAGEMENT</b>	Develops, evaluates, and implements efficient and effective operational processes and procedures. Identifies, seeks appropriate input, develops solutions and recommends plan to improve processes and procedures. Creates and maintains a positive goal-oriented environment free from bias and favoritism. Applies management practices consistently and fairly. Adheres to and actively supports the University's commitment to diversity and equal opportunity.	<input type="checkbox"/> <i>Exceptional</i> <input type="checkbox"/> <i>Successful</i> <input type="checkbox"/> <i>Needs Improvement</i>
<i>Select Priority</i>	<b>SUPERVISION</b>	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.	<input type="checkbox"/> <i>Exceptional</i> <input type="checkbox"/> <i>Successful</i> <input type="checkbox"/> <i>Needs Improvement</i>

TRAINING AND DEVELOPMENT PLAN	

## PART II: PERFORMANCE OBJECTIVES

ATTACH ADDITIONAL PAGES AS NEEDED.

PERFORMANCE OBJECTIVE	RESULTS
<p><b>Objective:</b></p> <hr style="width: 30%; margin-left: 0;"/> <p><i>List the significant duties and behaviors required for successful performance, i.e. identify what is expected in the performance of this objective.</i></p>	<p><i>List noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
<p style="text-align: center;"><b>MEASUREMENT STANDARDS</b></p> <p><i>List output or results that are expected for performance of duties.</i></p>	
Needs Improvement	
Successful	
Exceptional	
	<b>RATING</b>
	<input type="checkbox"/> <b>Exceptional</b> <input type="checkbox"/> <b>Successful</b> <input type="checkbox"/> <b>Needs Improvement</b>

PERFORMANCE OBJECTIVE	RESULTS
<p><b>Objective:</b> _____</p> <p><i>List the significant duties and behaviors required for successful performance, i.e. identify what is expected in the performance of this objective.</i></p>	<p><i>List noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
<p><b>MEASUREMENT STANDARDS</b></p> <p><i>List output or results that are expected for performance of duties.</i></p>	
<p><b>Needs Improvement</b></p>	
<p><b>Successful</b></p>	
<p><b>Exceptional</b></p>	
	<p style="text-align: center;"><b>RATING</b></p> <p> <input type="checkbox"/> <b>Exceptional</b>    <input type="checkbox"/> <b>Successful</b>    <input type="checkbox"/> <b>Needs Improvement</b> </p>

PERFORMANCE OBJECTIVE	RESULTS
<p><b>Objective:</b></p> <p><i>List the significant duties and behaviors required for successful performance, i.e. identify what is expected in the performance of this objective.</i></p>	<p><i>List noteworthy results, events, and accomplishments that demonstrate the level of performance.</i></p>
<p><b>MEASUREMENT STANDARDS</b></p> <p><i>List output or results that are expected for performance of duties.</i></p>	
<p><b>Needs Improvement</b></p>	
<p><b>Successful</b></p>	
<p><b>Exceptional</b></p>	
	<p style="text-align: center;"><b>RATING</b></p> <p> <input type="checkbox"/> <b>Exceptional</b>    <input type="checkbox"/> <b>Successful</b>    <input type="checkbox"/> <b>Needs Improvement</b> </p>

If the employee refuses to sign the front page of this document, the supervisor records the date on which the employee refused to sign on the line designated for the employee's signature on the front page. The employee has the right to initiate a dispute concerning the performance plan or final overall performance rating. The employee has 3 working days from the date of the event to resolve the dispute informally with the supervisor. If not resolved, the employee may enter the formal dispute process to the division director by submitting a completed *Performance Management Dispute Resolution Form* within 5 working days from the date of the event.

**EMPLOYEE COMMENTS**

**SUPERVISOR COMMENTS**



## PERFORMANCE MANAGEMENT

### **\*\*OPTIONAL\*\* EMPLOYEE SELF-EVALUATION OR FEEDBACK FORM**

#### **TRAINING**

If you attended any training or in-service sessions this past year, please document these below:

If you feel that additional training would assist you in your job duties, please indicate the type of training you would suggest:

Other information you believe is relevant to this evaluation period:

# PERFORMANCE MANAGEMENT DISPUTE RESOLUTION FORM

IF THIS FORM IS NOT APPLICABLE, PLEASE DISCARD



NAME:	DATE:
DEPARTMENT:	POSITION #:
SUPERVISOR:	

I WISH TO HAVE THE FOLLOWING REVIEWED	
<input type="checkbox"/>	MY PERFORMANCE PLAN OR LACK OF A PLAN. THE ERROR OR PROBLEM IS:
<input type="checkbox"/>	MY PERFORMANCE RATING. THE ERROR OR PROBLEM IS:
<input type="checkbox"/>	THE APPLICATION OF THE UNC PERFORMANCE PLAN, PROCESS, OR POLICIES TO MY PLAN OR EVALUATION. THE ERROR OR PROBLEM IS:
<input type="checkbox"/>	FULL PAYMENT OF MY AWARD. THE ERROR OR PROBLEM IS:

Employee Signature: _____	Date: _____
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*For additional information, consult your supervisor or Human Resource Services.  
Submit copies to your supervisor and to Human Resource Services.*