HISTORY COLORADO
PROCEDURE MEMORANDUM

Subject: Classified Employees Performance Management Program

Procedure No. HR-14 Revised January 15, 2016 Effective February 1, 2016

Approved _____(Steve Turner)__, State Historic Preservation Officer and Vice President of Preservation Programs

I. Overview

The History Colorado (HC) Performance Management Program establishes the framework for implementing performance management plans for all HC classified employees. The performance plan aligns with the goal of History Colorado and Colorado state government to establish a work culture that acknowledges excellence in performance.

II. Objectives

The Performance Management program is designed to be collaborative; that is, employee and supervisor work together on developing the performance plan and ensuring that the employee has the opportunity to meet the objectives of the plan. As a partnership that ensures effective performance planning, assessment, coaching, and development, a successful performance management program is a continuous process requiring clear performance expectations, periodic feedback, coaching and instruction, and recognition for improvement and contributions. Performance management is built on the foundation of a trusting relationship between supervisor and employee that enables and encourages open, two-way communication.

The Performance Management program is the process through which a supervisor provides a rating of the employee's performance for each performance cycle, by reviewing and assessing how well an employee is meeting the goals and expectations that have been established.

III. Performance Plan

The performance plan will be developed at the beginning of the evaluation period, beginning with the mandatory supervisory meeting. The performance plan will align with the goals and objectives of HC. The performance plan is a written document that clearly communicates performance expectations and job specific components for the employee. It may include areas for improvement noted from the prior cycle. This document will assist in planning for continuing job responsibilities while considering any new initiatives for the coming year. The plan will be the standard against which the employee's annual performance rating is made.

History Colorado Core Values

There are seven core value components that are included in performance plans and evaluations for employees of History Colorado.

- **Excellence:** Achieve excellence in all we do.
- **Integrity:** Be forthright and accountable in our relationships with everyone we serve.

- **Respect:** Recognize the contributions, values and perspectives of the diverse people who make Colorado history.
- **Diversity:** Embrace and build diversity among our audiences and throughout our organization.
- **Service:** Provide benefit to the state, audiences and stakeholders throughout Colorado.
- **Collaboration:** Bring together stakeholders in an inclusive manner.
- **Innovation:** Encourage creative and innovative approaches to all ideas.

Statewide, Uniform Core Competencies

The required statewide core competencies are implicit in each employee's performance plan and rating through their correspondence to HC Core Values. The statewide core values are listed below, along with the associated HC core value components.

- **Job Knowledge (Excellence):** Knowing our jobs and achieving excellence in all we do.
- **Communication (Collaboration and Innovation):** Being accessible, helpful, and communicating and sharing ideas.
- **Interpersonal Skills (Collaboration and Diversity):** Demonstrating ability to work as a member of a team.
- **Accountability (Integrity and Respect):** Maintaining and conveying a positive/professional image of HC.
- **Customer Service (Service):** Providing timely service, identifying and meeting customer needs, paying attention to the customer being served.

IV. Job-Specific Components

These are measurements reflecting the HC mission and philosophy that are part of every employee performance plan. They can be written as the core substantive tasks that delineate one job from another. An example would be the grant writer position and measurements might include how many grants should be written within a period of time. More outcome based measures might include a target number of grants received or dollars awarded based on grants written. These components are specific expectations that are set for the employee to accomplish during the performance year.

These components may also represent specific goals that are not necessarily part of the ongoing daily work, but are assigned for accomplishment during the performance year. An example would be to develop a new educational program or establish new work procedures.

Job specific components on the performance plan may be a combination of core job tasks and specific goals, or they may be one or the other.

V. Performance Progress Review

Ongoing communication and feedback are important aspects of performance management. In addition to the final performance evaluation, the supervisor and the employee will meet formally at least once each year no later than October 31 to discuss and document performance for the time frame of April 1 through September 30. Revisions or modifications to the performance plan must be documented on the performance plan and signed by both rater and employee.

VI. Employee Self-evaluation (optional)

A self-evaluation is an employee's narrative description of accomplishments related to his or her job objectives. It is also an opportunity for the employee to communicate with his or her supervisor about the understanding of his or her job duties and responsibilities, performance standards, expectations, and accomplishments. This is most commonly provided in advance of the final performance evaluation but may be required or provided at the mid-year at the rater's option.

VII. Final Performance Review

This review includes a mandatory meeting between the supervisor and the employee. This meeting will include review and discussion of all relevant performance data accumulated throughout the evaluation year. This meeting is to conclude the review process, and may immediately precede or be incorporated with, the mandatory planning process meeting for the next evaluation cycle. This meeting will take place no later than April 30 of each year. The reviewer, generally the second level supervisor, will review and sign off on the supervisor's evaluation of the employee's performance.

VIII. HC Performance Rating

All employees, with exception of temporary employees, will be annually evaluated in writing based on their job performance during the previous year. Performance ratings are based on the four established rating levels below:

Level 1: This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy requirements.

Level 2: 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.

Level 3: This rating 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.

Level 4: 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 supervisor, higher-level management, and others can readily recognize such a level of performance.

The Level 4 rating is equivalent to the Level 3 for the purposes of Performance Pay and the official record under the state personnel system. When a classified employee is awarded a Level 4 rating, it signifies that the employee had an exceptional year with outstanding accomplishments that resulted from the employee's efforts. The official rating of record is a Level 3.

IX. Schedule for the Performance Plans

March 31: Performance evaluation year ends
May 1: Final performance evaluation due to HR
May 1: New performance plan due to HR
October 1: Beginning of the mid-year performance progress review and coaching
October 31: Mid-year performance progress review due to HR

If a supervisor (rater) fails to complete a performance plan, the reviewer is responsible for completion. If the reviewer fails to complete the plan, the reviewer's supervisor is responsible, on up the chain of command until the plan is competed as required. If a rating is not given, the overall evaluation shall be satisfactory (Level 2) until a final rating is completed. Supervisors who fail to timely evaluate their employees are to be issued a corrective action and are not eligible for merit pay.

X. Mid-year changes

If an employee moves to a different position under another supervisor or department during the performance cycle, the former supervisor needs to close out the performance plan within 30 days. This close out may take the form of a final rating or it may comprise a written narrative of the employee's interim performance on the plan. It is also helpful to have a final evaluation on file when an employee leaves the organization for possible future references.

The plan may be changed during the performance year when goals, priorities and expectations change significantly. In these cases, changes are noted in the original plan document and the cover page is initialed and dated by the rater, employee, and reviewer.

XI. Performance pay

The state personnel director shall establish a merit pay system in order to provide periodic salary increases for employees in the state personnel system. The purpose of the merit pay system is to provide salary increases for employees based on performance evaluations and salary placement within the appropriate salary range. The state personnel director shall develop the merit pay system so that a merit pay increase is based on the relationship of performance rating distribution and salary range distribution.

Distribution

- Level 1 performer will receive no merit pay. A level 1 rating denoting unsatisfactory performance will result in a performance improvement plan.
- Level 2 and Level 3 performers may be eligible for base-building and/or non base-building pay contingent upon the determination of the State Personnel Director. Merit pay may be base-building up to the maximum of the employee's pay range. Any merit pay beyond the maximum of the employee's pay range shall be non base-building.
- Merit pay will be based on final overall rating of record (i.e., Level 2 or Level 3).
- Temporary employees are not eligible for merit pay.
- All distributions of merit pay are limited by the funding restrictions and limitations imposed by the General Assembly.

XII. Training

All supervisors of classified employees are required to participate in training on the History Colorado Performance Management Program. The Human Resources Director or another individual will conduct training for supervisors on an as-needed basis; the training will:

- Define the supervisor's role in developing the performance plan
- Teach the supervisors how to use the performance plan form
- Instruct the supervisors on how to develop goals and objectives

Supervisors may read this document for refresher training annually in lieu of attending classroom training. In addition, individual consultation is available from Human Resources on performance management matters.

XIII. Dispute Resolution

Employees may dispute certain matters relating to performance plans and ratings through the dispute resolution process. The purpose of the dispute resolution process is to create an open and impartial opportunity that allows the parties to have issues heard, and to provide review mechanisms that are fair, consistent, understandable, and timely.

Performance Management Dispute Resolution Process

The dispute resolution process has two stages, an internal stage and an external stage. The dispute resolution process is not a grievance or an appeal

The parties involved are strongly encouraged to extend every effort to resolve disputes before initiating the dispute resolution process. An employee who wishes to dispute a matter concerning a performance plan or evaluation must complete the internal dispute process before the external dispute process becomes available.

Step One – Notify Supervisor

The first step in disputing a performance management issue is to notify the supervisor (rater) of the concern. This notification may be verbal or in writing, and if verbal must be followed up in writing, such as in an e-mail to the supervisor. Written notification to the supervisor must include a copy to the Human Resources Director, who will ensure that parties are aware of all deadlines, will monitor the process for compliance, and provide consultation to all parties, as requested.

Step Two – Meeting with Supervisor

The supervisor shall meet with the employee as soon as it is practical, and no later than 5 business days after being notified in writing of the performance management issue of concern. This meeting is to be used to clarify the issue and if possible, arrive at a mutually agreeable solution.

Step Three – Supervisor Response

The supervisor shall provide a written response to the employee's concern within 5 business days of the meeting that comprised Step Two. This response will include any specific action the supervisor intends to take in response to the dispute, and a time frame for such action, or an indication that the supervisor does not intend to take an action. If a mutually agreeable solution was attained, then the supervisor response will be to confirm that solution in writing to the employee.

The dispute may conclude after Step Three. However, if the employee wishes to pursue further review of the issue through the chain of command, then Step Four is available.

Step Four – Appointing Authority Review

If the employee wishes to pursue further review of the dispute, then the matter may be taken to the employee's Appointing Authority for review. No later than 5 business days after receiving the supervisor response, the employee shall make a written request to the Appointing Authority to review the matter. The employee's request shall indicate the action or resolution being requested of the Appointing Authority. Any written request to the Appointing Authority must include a copy to the Human Resources Director, who will ensure that parties are aware of all deadlines, will monitor the process for compliance, and provide consultation to all parties, as requested.

The Appointing Authority will review the matter, including any relevant documentation available. The Appointing Authority may wish to meet with the employee and/or with the supervisor in order to arrive at a decision in the matter. No later than 15 business days after receipt of the

employee's written request for review, the Appointing Authority shall provide a written response to the employee regarding the concern. This shall represent the department's final decision in the matter.

External Dispute Process:
Certain matters are disputable to the State Personnel Director under Performance Management Program guidelines. If an employee dispute handled in the above process was not resolved to the employee's satisfaction, and is within one of the matters listed below, then the issue may be disputed at the external stage to the State Personnel Director.

Under Performance Management Program guidelines, only the following matters are disputable in the external dispute resolution process:

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

The following issues are not disputable

- The content of the History Colorado's Performance Management Program
- Matters related to the funds appropriated for merit pay (including full payment)
- The performance evaluations and merit pay or awards of other employees

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Filing an External Performance Dispute

- Employees who are dissatisfied with the results of the internal dispute resolution process may elevate the dispute to the external process administered by the State Personnel Director.
- The employee must make the request to the State Personnel Director within five (10) working days of the final decision from HC internal process.
- Employees must submit a written request to the State Personnel Director for consideration under the external process.
- The request must include a copy of the original issue(s) submitted in writing and the HC final decision.

State Personnel Director
Attn: Dispute Resolution
1525 Sherman Street
Denver, CO 80203
Tel. 303-866-3300

The state personnel director may select a qualified neutral third party to review the matter. The director shall issue a written decision that is final and binding within 30 days. Scope of authority of those individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the agency's program. 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 at the internal dispute stage. In reaching a final decision (in the external stage), these individuals have the authority to instruct a rater(s) to:

a) Follow the agency's program.
b) Correct an error.
c) Reconsider an individual performance plan or final overall evaluation. These individuals may also suggest other appropriate processes such as mediation.

Final resolution of issues concerning the individual's performance plan (or lack of plan) and the individual's performance evaluation shall occur at the internal stage of the dispute resolution process. Employees will have no further recourse for resolution of these disputes.

Important Definitions and Useful Tips

New employees: A performance plan is due within 30 days of the start date of each new employee. If a new employee starts between January 1st and March 31st of each year, no rating for the current performance cycle is necessary; however, a plan for the following performance plan cycle should be completed within 30 days of beginning employment.

Rater: A person who monitors performance for one or more staff members. The rater is the employee's direct supervisor, unless otherwise delegated by the appointing authority.

Reviewer: The reviewer is responsible for reviewing performance plans and evaluations prepared by the rater and employee to ensure that plans and evaluations are completed within PMP guidelines and to monitor consistency between raters and alignment with HC mission and objectives. The reviewer is typically the rater's supervisor.

Plan Signature: The employee's signature on his/her plan will be taken to mean that the employee has read and understood the current plan. The supervisor will keep the original plan throughout the year.

Documentation: A copy of the front page of the signed plan is submitted to human resources upon its completion as documentation of timely performance planning. A copy of the front page is again submitted to human resources after it has been initialed for the mid-year review. The original Performance Plan, Progress Review, and Final Appraisal form is submitted to human resources at the end of the performance year for inclusion In the employee's official personnel file.

The performance management process allows employees to clearly understand:

- What their goals and/or duties are and what is expected of them.
- The criteria for success and how well they are doing.
- How their responsibilities help achieve organizational goals.
- How they can improve job performance.

Useful Tips for developing a performance plan:

- What are the goals and objectives for the employee?
- Identify desired results and priorities for the upcoming year.
- The supervisor needs to provide the employee the tools or a guide (the position description) to help the employee plan their individual goals.
- Meet with your employee to collaboratively set job duties, related goals and measurements.

- **Ask employees to self-evaluate.** Feedback from employees on their own performance provides their perspective and provides a starting point for the performance discussion.
- **Review performance for the entire cycle.** The evaluation must reflect an employee's performance over the whole period of time covered by the review. One month of outstanding performance does not offset eleven months of mediocre performance, even if it occurred in the month immediately preceding the review.
- **Review each objective independently.** Do not let reviews of one objective influence the review of another. Employees often do better in some areas than others. Therefore, review each aspect of performance independently of others.

Avoid These Rating Pitfalls:

- **Leniency:** The tendency to use a less stringent set of standards to rate an employee, resulting in an inflated rating.
- **Halo Effect:** The tendency to give an employee an overall rating, either positive or negative, based on the evaluation of a single performance objective or an unrelated favorable characteristic, which results in an inaccurate evaluation of overall performance.

- **Central Tendency:** The tendency to cluster employee ratings at the center of a rating scale.
- **Impressions**: The tendency to rate an employee on the basis of impressions and gut feelings rather than on concrete, observable examples of performance, behaviors and skills gathered over a period of time.
- **Recency Effect:** The tendency to rate an individual on his or her most recent performance or contributions, rather than on performance during an entire review period.

HISTORY Colorado

Performance Plan, Progress Review and Final Appraisal

Name: _____ Job Title: _____ Position Number: _____

Rater: _____ Rater Job Title: _____ Reviewer: _____

Appraisal Period: From _____ to _____

PERFORMANCE PLANNING SECTION (Submit a copy of this page with all signatures to H.R. by April 30, 201 6)

_____ _____ ___ Agree ___ Disagree with this Performance Plan
Employee Signature Date
Signature indicates that the employee has seen the performance plan and that a discussion has taken place, but does not necessarily indicate agreement with the plan.

Rater Signature _____ Date _____

Reviewer Signature _____ Date _____

PROGRESS REVIEW (Submit a copy of this page with signatures to H.R. by October 31, 2016)

Rater Initials _____ Employee Initials_____ Date _____ (one progress review required)

Rater Initials _____ Employee Initials_____ Date _____

MODIFICATIONS TO THE PLAN (optional)

_____ _____ _____ _____
Employee Initials Rater Initials Reviewer Initials Date

☐ **Level 1:** This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy requirements.	☐ **Level 2:** 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.	☐ **Level 3:** This rating 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.	☐ **Level 4:** 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 supervisor, higher-level management and others can readily recognize such a level of performance.

EVALUATION SECTION (Submit the entire evaluation with original signatures to H.R. by Apr. 30, 2017)

Rater Signature _____ Date _____

Reviewer Signature _____ _____ Date _____

_____ _____ ___ Agree ___ Disagree with this Performance Evaluation
Employee Signature Date
Signature indicates that the employee has seen the performance evaluation and a discussion has taken place, but does not necessarily indicate agreement with the evaluation.
Employees have the right to request a review if they disagree with this appraisal.

Core Value Components

Measurements reflecting HC mission and values are part of every employee's performance plan.

The following Core Values are an important part of the performance appraisal of all HC staff. Each staff person will be evaluated in these Core Value areas. Any staff person receiving a Level 1 in any of the Core Values will not be eligible for an overall Level 4 rating.

1. Excellence: Achieve excellence in all we do.

Performance Level 1 2 3 4
Comments:

2. Integrity: Be forthright and accountable in our relationships with everyone we serve.

Performance Level 1 2 3 4
Comments:

3. Respect: Recognize the contributions, values and the perspectives of the diverse people who make Colorado History.

Performance Level 1 2 3 4
Comments:

4. Diversity: Embrace and build diversity among our audiences and throughout our organization.

Performance Level 1 2 3 4
Comments:

5. Service: Provide benefit to the state, audiences and stakeholders throughout Colorado.

Performance Level 1 2 3 4
Comments:

6. Collaboration: Bring together stakeholders in an inclusive manner.

Performance Level 1 2 3 4
Comments:

7. Innovation: Encourage creative and innovative approaches to all ideas.

Performance Level 1 2 3 4
Comments:

Job-Specific Components

Raters (as applicable):
These goals reflect the HC mission and philosophy and are included in every rater's performance plan.

Demonstrates effective supervision by:
- Providing staff with performance plans and evaluations to meet HC deadlines.
- Managing unit work flow and budgets for maximum efficiency and effectiveness.
- Advising staff on necessary training, coaching, and resources to meet staff job requirements.
- Providing staff with consultation and advice in a helpful and timely fashion.
- Establishing a work environment within the unit that is conducive to cooperation and support.
- Providing two-way communication between staff in the unit and program and division directors.
- Inspiring exceptional performance from each staff member.

Performance Level 1 2 3 4
Comments:

All Employees:
These goals are position-specific and are developed jointly by the employee and supervisor (At least two goals are recommended).

Goal # 1:

Performance Level 1 2 3 4
Comments:

Goal # 2:

Performance Level 1 2 3 4
Comments:

Goal # 3:

Performance Level 1 2 3 4
Comments:

Goal # 4:

Performance Level 1 2 3 4
Comments:

Add additional goals as needed:
Overall Rating

_____ 1 _____ 2 _____ 3 _____ 4

Supervisors Please Note:

- Written justification must be included for all Level 1 and Level 4 performance levels.
- A Level 1 rating requires submission of a formal improvement plan to be included with the new performance plan.

Supervisor Comments:

Employee Comments: