Colorado Department of Law

Classified Employee Performance Management Program

Prepared by Human Resources
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COLORADO DEPARTMENT OF LAW
CLASSIFIED EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM

I. INTRODUCTION

The Department of Law (DOL) Classified Employee Performance Management Program was developed in accordance with State Personnel Rules & Procedures and is intended to facilitate effective management of employee performance. The primary purpose of this document is to set forth the mechanics and common framework for performance management and to ensure uniformity and consistency across the department. The DOL Performance Management Program addresses the three major areas of performance management in the state personnel system; performance planning and evaluation, performance related pay (merit pay) and dispute resolution.

II. PERFORMANCE MANAGEMENT OVERVIEW

Performance Cycle: The DOL performance planning and evaluation cycle for classified employees will be **April 1st** through **March 31st** of each year.

Performance Planning & Evaluation Form: The DOL Performance Planning & Evaluation Form must be used for performance planning and evaluating for all classified employees. The required form is available on the DOL Intranet.

Performance Plan: Each employee must receive a performance plan on or before May 15th, or within 30 days of hire. Performance planning must include at least one meeting between the supervisor and the employee.

Core Competencies: At a minimum, all DOL classified employees must be evaluated on the following Statewide Core Competencies:

- **Communication** - Effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and customers/clients.
- **Interpersonal Skills** - Interacts effectively with others to establish and maintain smooth working relations.
- **Customer Service** - Works effectively with internal and external customers/clients to satisfy service and product expectations and ensure the effectiveness of the department.
- **Accountability** - Employee's work behaviors demonstrate responsible personal and professional conduct, which contribute to the overall goals and missions of the department.
- **Job Knowledge** – The employee is skilled in job-specific knowledge that is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.

Interim Review: Each employee must receive an interim review by October 31st. Employees hired after the start of the performance cycle should receive an interim review at approximately half way through the performance cycle from the time they began employment (e.g. an employee hired in October should receive their interim review by January).

Final Evaluation: All employees hired before February 1st must be given a final evaluation on or before April 30th.

Rating Levels: Final evaluations must result in a rating of Level 3, 2 or 1. The standard definitions for these rating levels are described in the Performance Evaluation section.

Training: All DOL supervisors are required to attend, at a minimum, the DOL Performance Management Training for Supervisors. Supervisory and employee training will be offered on an on-going basis.

III. PERFORMANCE MANAGEMENT

Performance Planning

Performance planning is the process for developing individual performance plans. Performance planning is a critical component of performance management, as it establishes the foundation for what an employee can expect to be measured against. This process is intended to bring together the supervisor and employee in a cooperative and collaborative effort that results in meaningful and specific goals and objectives for the employee for the upcoming performance cycle.

- Plans for employees must be in place within 45 days of the beginning of the new performance cycle (on or before May 15th), or within 30 days of hire or transfer for employees hired before February 1st.

- Completed plans remain with the supervisor/rater for the duration of the plan year. Neither plans nor copies of plans are forwarded to the Human Resource office. Only a copy of the signature page of the DOL Performance Planning & Evaluation Form must be submitted to Human Resources after the completion of the plan.

- The performance planning process must include at least one meeting between the supervisor and the employee by May 15th. The meeting must include a review of the employee's PDQ, a discussion of the employee and supervisor expectations, individual performance objectives, the core competencies and how the outcomes will be measured.

- Individual performance plans need to be tailored to include specific goals and objectives that support the goals and objectives of the employee's section and work unit.

- While it is expected that the supervisor and employee come to a mutual agreement on performance expectations, the supervisor shall have the responsibility to make the final decision regarding what expectations, goals and objectives are contained in the performance plan.

- The supervisor is required to prepare the performance plan within the established timeframes. If the supervisor fails to prepare a performance plan, the reviewer or next level supervisor is responsible for completing the plan within 5 working days.

- If an employee is on extended leave (e.g., FMLA or military leave), the supervisor is required to make every effort to meet the May 15th deadline for new performance plans, unless there is an extraordinary circumstance which may require a delay beyond that date (e.g., the employee's absence was an unanticipated emergency).

    - The supervisor must contact Human Resources prior to the May 15th deadline, requesting authorization for a delay in issuing a new plan to the employee who is on leave.

    - When a delay is authorized, the supervisor is required to issue the new performance plan to the employee during the first two weeks of the employee's return to work.

- Absent extraordinary circumstances, failure by any supervisor to provide a timely performance plan will result in a corrective action and the supervisor's ineligibility to receive a merit pay adjustment if the supervisor fails to comply with the corrective action. The Human Resources Director will notify the appropriate Deputy or Appointing Authority of any

supervisor's failure to comply. A performance plan is not considered complete until it has been signed by the employee.

Core Competencies

Performance plans for all classified DOL employees must include, at a minimum, the following core competencies: Communication, Interpersonal Skills, Customer Service, Accountability, and Job Knowledge.

In addition to the core competencies that are required for every employee, all supervisors' plans must also contain the following competency:

- **Performance Management (Supervisors Only)** – Effectiveness in managing the performance of subordinate employees, including developing plans, conducting reviews and performance evaluations, coaching, providing feedback, and resolving disputes.

Sections may further define these competencies and identify additional competencies for specific jobs. However, the above core competencies cannot be disregarded in the final evaluation for each employee.

Interim Review

Interim performance reviews, also known as mid-year evaluations or progress reviews, provide a formal opportunity for a supervisor and employee to discuss the employee's overall performance to date and are key to managing performance on an on-going basis.

- Supervisors are required to conduct at least one (1) interim review during the performance cycle, which must be recorded on the DOL Performance Planning & Evaluation Form. A formal evaluation and rating are not required for the interim review.

- Interim reviews must be completed by October 31st. Employees hired after the start of the performance cycle should receive an interim review at approximately half-way through the performance cycle from the time they began employment (e.g. an employee hired in October should receive their interim review by January).

- Sections or individual supervisors may decide to have more than one (formal) review during the performance cycle. Supervisors are expected to provide coaching and feedback to employees on a regular basis throughout the performance cycle, not just at the interim review.

- If an employee moves to another position during the performance cycle (whether internal to DOL or external to another state agency), an interim evaluation shall be completed and delivered to Human Resources within 30 days of the change.

Performance Evaluation

A final written performance evaluation at the conclusion of the performance cycle is required for all employees who were hired before February 1st. In addition to an employee's final performance evaluation being a reflection/summary of their performance and accomplishments for the year, the final performance evaluation is also a determining factor in the merit pay increase that the employee is eligible to receive on July 1st.

- Final evaluations of employee performance must be conducted within one month after the end of the performance cycle (on or before April 30th), or within 30 days of the last day of employment.

- Evaluations must be completed for any employee with a plan in place at the end of the performance cycle, or for any employee who should have had a plan in place based upon these guidelines. In other words, employees hired before February 1st, require a performance plan and evaluation.

- The performance evaluation process must include at least one meeting (pre-evaluation) between the supervisor and the employee to exchange information regarding the employee's performance.

- Multi-source assessment processes should be considered for evaluating employees, where feasible (e.g., supervisory observation, surveys, customer feedback, employee input, etc.).

- A narrative summarizing the employee's performance is required for all rating levels.

- The final evaluation must be reviewed and signed by a higher-level reviewer **before** the evaluation is given to the employee.

    - For Level 1 and Level 2 ratings, the reviewer is the section deputy or the rater's next level supervisor (where there is not a section deputy). Each section must establish internal deadlines to ensure that the evaluation and review process is completed in time for the final evaluation to be delivered to the employee by April 30th.

    - Level 3 ratings will be reviewed by a panel consisting of the deputy for the employee's section, the Director of Administration and the Human Resources Director. Level 3 ratings must be submitted to the review panel by April 15th.

- The supervisor is required to conduct the performance evaluation within the established timeframes. If the supervisor fails to conduct a performance evaluation, the reviewer or next level supervisor is responsible for completing the evaluation within 5 working days. If a rating is not given, the overall evaluation shall be successful (Level 2) until a final rating is completed.

- If an employee is on extended leave (e.g., FMLA or military leave), the supervisor is required to make every effort to meet the April 30th deadline for final evaluations, unless there is an extraordinary circumstance which may require a delay beyond April 30th.

    - The employee's supervisor must contact Human Resources prior to the April 30th deadline, requesting authorization for a delay in evaluating the employee who is on leave.

    - When a delay in evaluating an employee is authorized, the supervisor is required to complete the formal evaluation process with the employee during the first week of the employee's return to work. Employees placed in this extraordinary circumstance category will have full rights to the dispute resolution process even if the time period has extended beyond the end of the year.

- Absent extraordinary circumstances, failure by any supervisor to provide a timely performance evaluation will result in a corrective action and the supervisor's ineligibility to receive a merit pay adjustment if the supervisor fails to comply with the corrective action. This does not require that the supervisor's overall performance rating be at a Level 1. All supervisors who fail to complete evaluations within 30 days of the corrective action shall be disciplinarily suspended in increments of one workday following a pre-disciplinary meeting (in accordance with Rule 6-5). The Human Resources Director will notify the appropriate section deputy or appointing authority of any supervisor's failure to comply. A performance evaluation is not considered complete until it has been signed by the employee.

Ratings

DOL performance evaluations/ratings are based on a qualitative system. Final evaluations must result in a rating of Level 3, 2 or 1. The standard definitions for these rating levels are as follows:

- **Level 3 (Exceptional)** – This rating level represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

- **Level 2 (Successful)** – 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 and furthers the mission of the organization.

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

  Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.

- In completing the evaluation, the supervisor must rate the employee in each core competency by assigning a level/rating (as described above) that is reflective of the employee's performance for the whole performance cycle in that particular core competency.

- Competency ratings are then averaged to arrive at the final rating; or, when the competencies are assigned a weight (at the time the plan is established), the final rating must be calculated based on the weight of the competency and the rating given. The following chart is an example of how the final rating is determined when the competencies are weighted.

COMPETENCY	WEIGHT		RATING 1-3		POINTS
COMMUNICATION	15% (.15)	X	2.5	=	0.38
INTERPERSONAL SKILLS	25% (.25)	X	2.25	=	0.56
CUSTOMER SERVICE	20% (.20)	X	2.0	=	0.40
ACCOUNTABILITY	20% (.20)	X	2.75	=	0.55
JOB KNOWLEDGE	20% (.20)	X	3	=	0.60
TOTAL WEIGHT (MUST BE 100%)	100%		**TOTAL POINTS**		**2.49**

- Regardless of the method used to arrive at a final score based on the competency ratings, the following scale must be used to derive an overall performance rating:

  1.0 to 1.79 = Level 1
  1.8 to 2.69 = Level 2
  2.7 to 3.00 = Level 3

- All core competencies must be rated at least a Level 2 for the employee to attain an overall rating of Level 3. In other words, an employee who is rated a Level 1 in any one core competency may not be rated an overall Level 3.

- An employee whose final evaluation results in an overall rating of Level 2 or Level 3 is eligible for a merit pay adjustment as described in the Merit Pay Adjustments section.

- An employee whose final evaluation results in an overall rating of Level 1, describing unsatisfactory performance or performance needing improvement, is subject to either a performance improvement plan or corrective action, and a reasonable amount of time must be given to improve, unless the employee is already under corrective or disciplinary action for the same performance matter as described in State Personnel Rules (Rule 6-6).

- Quotas or forced distribution processes for determining the number of ratings in any of the three performance levels shall not be established.

- The original, completed DOL Performance Planning & Evaluation Form must be forwarded to the Human Resources office by May 15th. A record of the official performance plan, interim review and final evaluation are maintained in the employee's official personnel file.

IV. Merit Pay Adjustments

Merit pay consists of both base and non-base building adjustments. Merit pay funds are allocated to the department through the annual Long Bill. Information regarding the funds allocated and the plan for distribution of the funds will be communicated to all employees. Merit pay adjustments will be consistent with State Personnel Rules and Procedures or any other special directives issued.

- Employees will be notified by June 30th of the final decision as to whether merit pay adjustments will be given.

- Merit pay distribution decisions are made based upon directives issued by the Department of Personnel & Administration and, where discretion is allowed, by DOL management. Prior to the payment of merit pay adjustments, the State Personnel Director specifies and publishes the percentage for any merit pay increase and applicable priority groups.

- Permanent employees are eligible to earn a merit pay adjustment each year based on the employee's final overall performance rating and applicable priority group.

- All merit pay adjustments will be effective on July 1st.

- Merit pay adjustments for newly hired and transferred employees are as follows:

    - Employees must be employed in the state personnel system on July 1st in order to receive a merit pay adjustment. Non-base building merit pay will be pro-rated for employees hired during the performance cycle (based on number of calendar months worked).

    - Employees who transfer into DOL from another state department will be treated as though they were employees of DOL for the current performance cycle and will be eligible for a merit pay adjustment based on the requirements outlined in this document. The employee's current department as of July 1st will be responsible for the payment of any adjustments.

- Employees rated at Level 1 (needs improvement) are not eligible for any merit pay adjustment.

- Employees rated at Level 2 and Level 3 are eligible for base building merit pay adjustments up to the pay range maximum. Payment of any remaining portion of base building merit pay that would cause the base pay to exceed the pay range maximum will be paid as a one-time, non-base building lump sum in the July payroll.

- Base building adjustments are permanent and are paid as regular salary beginning in July.

- Non-base building merit pay will be paid in one lump sum payment in the July payroll. The range maximum and statutory salary lid do not apply to non-base payments. Non-base building merit pay must be earned each year. An employee must be employed on the date of the payment in order to be eligible to receive the non-base building payment.

- Monetary and Non-monetary rewards/incentives may be given to employees rated at Levels 2 or 3, regardless of their position in the pay range. All rewards/incentives may only be non-base building awards. The DOL Compensation Guidelines & Procedures should be referenced for more information regarding rewards and incentives.

- An employee granted a merit pay 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.

V. Dispute Resolution Process

The DOL dispute resolution process is designed in accordance with State Personnel Rules and is intended to resolve performance related disputes in an open and impartial manner, while preserving working relationships. The performance management dispute resolution process is separate from the grievance and appeal process.

The following matters are disputable:

- individual final overall performance evaluation, including lack of a final evaluation; and/or
- application of the department's performance management program to the individual employee's final overall evaluation.

The following matters are not disputable:

- content of the department's performance management program;
- matters related to the funds appropriated; and/or
- performance evaluations and merit pay of other employees.

Internal:
To initiate the dispute resolution process, an employee must complete the DOL Notice of Performance Dispute, which can be found on the DOL Intranet. The completed form must be submitted to the Human Resources Director within seven calendar days of the issue being disputed (e.g., receipt of the final rating). A copy of the form must also be submitted to the employee's supervisor/rater and the section deputy or appointing authority (where there is no section deputy). Only those issues listed under matters that are disputable and the issues presented on the form will be reviewed.

The section deputy or appointing authority will respond to and make every effort to resolve the dispute within seven calendar days of receiving the Notice of Performance Dispute. The deputy or appointing authority is encouraged to meet personally with the supervisor/rater and employee to hear both sides. The deputy or appointing authority may also request additional information or investigate further as he/she deems necessary. Where the section deputy or appointing authority is the supervisor/rater, an employee may request that an alternate reviewer be assigned to the dispute. The section deputy's or appointing authority's decision will be issued in writing, with a copy to the Human Resources Director, the employee, and the supervisor/rater.

If the employee is not satisfied with the section deputy's or appointing authority's resolution, the employee may request further review by the Chief Deputy within three working days of receiving the section deputy's or appointing authority's written decision. Issues which were not included in the original Notice of Performance Dispute may <u>not</u> be incorporated into the request for further review.

The Chief Deputy will issue a written decision within seven calendar days of receiving the request for further review. Meetings and additional investigation may be conducted at the discretion of the Chief Deputy. The decision of the Chief Deputy will be the final agency decision. Final resolution of issues concerning the individual employee's final overall performance evaluation (or lack of evaluation) shall occur at the internal level. **Employees will have no further recourse for resolution of these disputes.**

External:
Disputes concerning the application of the Department's performance management program may proceed beyond the department level to the State Personnel Director after completion of the internal process. A neutral third party will then be selected by the Personnel Director to make the final decision on these matters. Only the issues originally presented in writing will be considered. If the employee desires further review by the State Personnel Director, the request must be filed with the State Personnel Director, 1525 Sherman St., Denver, Colorado 80203, **within five (5) working days** of the final agency decision. Chapter 8 of the State Personnel Rules addresses such requests.

Dispute Timeframes		
Step	**Days Allotted**	**Action**
1.	- - -	• Final overall performance evaluation/rating received or lack of a final evaluation/rating; and/or • Application of the department's performance program to the individual employee's final overall evaluation.
2.	7 calendar days	DOL Notice of Performance Dispute filed with Human Resources Director (with copies to section deputy/appointing authority & supervisor/rater).
3.	7 calendar days	Section deputy/appointing authority review & decision.
4.	3 working days	Request for further review by Chief Deputy filed with Human Resources Director.
5.	7 calendar days	Chief Deputy review & final agency decision.
6.	5 working days	Deadline to request review by State Personnel Director.

The scope of authority of those individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the DOL Performance Management Program. In reaching a final decision, these individuals have the authority to instruct a rater to: follow the DOL Performance Management Program; correct an error; or reconsider an individual final overall evaluation.

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

VI. Communication

DOL is committed to keeping all employees continuously informed regarding the DOL Performance Management Program and performance management related information and activities.

- We want all employees to be informed on the basics of the program and what employees can expect in the way of performance management activities.
- All employees are encouraged to provide feedback regarding the DOL Performance Management Program and its design and implementation.
- DOL will use every communication vehicle available and appropriate to disseminate current and correct information as quickly as possible. Examples of these include:
  - Internet, intranet, and e-mail;
  - Annual performance management meetings or trainings; and
  - Printed reference materials for employees, supervisors and managers.

VII. Training

All department supervisors are required to attend, at a minimum, the DOL Performance Management Training for Supervisors. DOL will offer supervisory and employee training on an on-going basis.

In addition to formal training, the DOL Intranet also contains a variety of materials related to performance management, planning, developing performance objectives, and evaluating.

VIII. Annual Reporting Requirements

DOL will comply with all performance management reporting requirements established by the State Personnel Director. As requested, DOL Human Resources will report information such as, performance ratings by level, merit pay allocations, sanctions imposed for non-compliance, and other information as required by the State Personnel Director.

Overview of the DOL Performance Planning and Evaluation Process

The following information is intended to provide an overview of the performance planning and evaluation process. The Department of Law (DOL) Performance Management Program is the official resource for the specific requirements of the performance management process for classified employees.

Step 1: Performance Planning

The basic premise in performance management is that an employee must know what is expected of him or her to be a highly effective performer. This is done by the supervisor and the employee collaborating to develop individual performance plans. Individual performance plans, to be most effective, directly stem from Section goals and objectives. From Section goals and objectives a supervisor can develop Individual Performance Objectives (IPOs). Ideal objectives are considered to be **SMART**: **S**pecific, **M**easurable, **A**ttainable, **R**esults oriented, and **T**ime bound.

The process for the performance planning phase requires a meeting between the supervisor and the employee very early in the performance cycle in which the following occur:

- The overall mission and goals of the Department and Section are discussed.
- The Section goals, objectives and projects for the upcoming year are discussed.
- The individual (and possibly team) performance objectives are stated and discussed.
- The Core Competency areas the employee will be evaluated on are reviewed.

DOL uses the following five Core Competencies to evaluate all employees:

- COMMUNICATION
- INTERPERSONAL SKILLS
- ACCOUNTABILITY
- CUSTOMER SERVICE
- JOB KNOWLEDGE

DOL uses the following additional competency for supervisors:

- PERFORMANCE MANAGEMENT (SUPERVISORS ONLY)

The Core Competency areas are defined and have associated sub-factors. The purpose of the definition and the sub-factors is to provide more clarity to both the supervisor and the employee in terms of expectations and specific desired work behaviors. The sub-factors are intended to be examples and should not be used as the only goals or objectives for the competency.

Step 2: Interim Performance Review(s)

There are several reasons for having regular progress reviews. Plans developed at the beginning of a performance cycle may need to be changed to reflect new or revised priorities. Progress reviews allow new courses of action to quickly get underway, without waiting for the end of the performance cycle. They provide a more balanced view of an employee's performance and can reduce errors that occur by rating only the last part of a performance year. Most importantly, they establish a dialogue that clarifies expectations and builds trust.

Supervisors are required to perform a minimum of one interim review with the employee prior to the final evaluation. The interim review does not involve a formal performance evaluation/rating. The emphasis is on communication regarding the employee's performance and expectations. The review should examine IPOs and changes in the Section goals. The interim review meeting is the ideal opportunity to document changes and revise IPOs as necessary.

Step 3: Performance Evaluation

When IPOs have been crafted well, the supervisor will be able to more easily measure the level at which an employee has performed in a Core Competency area. The recommended approach is to collect as many performance indicators as reasonable and then consider the **"preponderance of evidence"** as to where the employee's performance falls on the continuum of "Needs Improvement" to "Exceptional". The sources of data can include supervisor observation/judgments, 360-degree feedback, employee self evaluations, customer survey data, and objective performance data (quality, quantity, timeliness, accuracy, cost effectiveness, etc.).

Deciding on the final year-end rating involves taking into account the ratings of each Core Competency to arrive at an overall rating of a Level 3, Level 2, or Level 1. The DOL Performance Management Program provides additional guidance.

One of the most important data gathering methods used to reach the final year-end rating is the **pre-evaluation** meeting. This is a face-to-face meeting between the employee and supervisor. The employee should be asked to bring any information or documentation that he or she wishes to have considered regarding their performance, the IPOs and the Core Competency areas. The supervisor blends this information with all of the other performance indicators to derive a **preliminary** performance rating. A final overall rating of a level other than Level 2 requires a narrative summarizing the employee's performance. This information is then submitted to the reviewer. The reviewer either concurs with the supervisor or they work together to arrive at a **final rating**. Once the final rating has been determined, the supervisor provides the employee with the final evaluation. The employee may provide a written narrative to respond to the rating. Upon conclusion of the performance evaluation process, the DOL Performance Planning & Evaluation Form cover sheet should be completed, with signatures and dates and submitted to Human Resources.

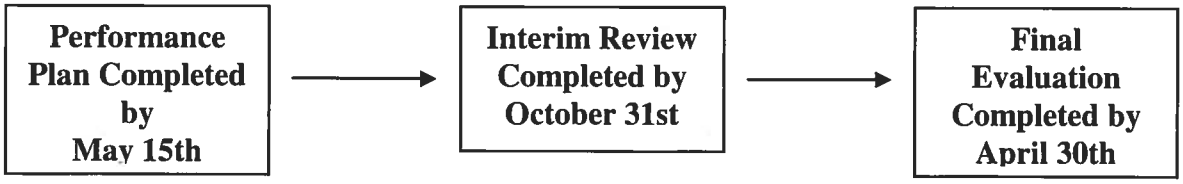
Linking Core Competencies, IPOs, and Performance Measures

One of the concerns about performance management that employees have voiced is that of "fairness." Often, employees are concerned that supervisors will not evaluate performance objectively and will show favoritism in appraising employee performance.

One mechanism to address this is through the use of IPOs. By clearly communicating expectations regarding work quality, quantity, and timeliness to employees with IPOs, supervisors should be less subject to charges of unfairness. Another important mechanism is the use of objective performance data and measures. Whenever feasible, supervisors and employees should work together to identify data that can be used as a source of information to make performance evaluations more objective.

In order to be effective, performance plans need to contain specific IPOs. The pages of this document are formatted so that supervisors can indicate the IPOs that are relevant for each Core Competency. There is also a section to indicate what sources of performance data may be used to evaluate performance. If supervisors wish to develop more detailed performance plans by adding additional competencies and IPOs, they may do so. Additional information should be attached to the DOL Performance Planning & Evaluation Form.

Performance Planning & Evaluation Time Frames



Department of Law

PERFORMANCE PLANNING & EVALUATION FORM

Performance Cycle of April 1, through March 31,

Employee Name: Class Title:

Section/Unit: Supervisor Name:

PERFORMANCE PLANNING:

Employee has been provided a copy of this performance plan. I ☐ agree ☐ disagree with the plan.

Supervisor Signature Date Employee signature Date

Current PDQ has been reviewed:
PDQ is accurate: ☐ Yes ☐ *No

Employee Initials Supervisor Initials

***If PDQ is not accurate, revisions must be made and submitted to Human Resources.**

Employee must also sign "Dispute Resolution Notice" section below.

INTERIM/PROGRESS REVIEW: (At least one meeting per performance cycle is required,)

Interim Review Date: _____

Employee signature Supervisor signature

Comments: _____

Additional Review Date: _____

Employee Initials Supervisor Initials

FINAL EVALUATION:

THE OVERALL PERFORMANCE RATING
FOR THE YEAR IS: (check one)

☐**Level 1** ☐**Level 2** ☐**Level 3**

Supervisor Signature Date *Reviewer Signature Date
(Reviewer is section deputy or next level supervisor)

*If Level 3, review panel serves as reviewer:

Director of Administration Human Resources Director Section Deputy Date

I have received the performance evaluation and I: ☐agree ☐disagree

Employee signature Date

Employee Comments (additional comments can be attached): _____

DISPUTE RESOLUTION NOTICE: An employee may dispute their final overall evaluation by following the DOL Performance Management Dispute Resolution process. The process must be initiated within 7 calendar days from receiving the final evaluation. Additional information regarding the DOL Performance Management Dispute Resolution Process is available from Human Resources and on the DOL Intranet.

Employee Signature Date

CORE COMPETENCY: COMMUNICATION

Definition: Effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and customers/clients.

- Communicates to provide or exchange information while keeping others informed.
- Listens effectively to others ideas, problems and suggestions.
- Adapts communication methods to respond to different audiences.
- Works in an open manner and shares information with others to get the job done.
- Responds in a prompt and friendly manner to requests and inquiries.
- Is appropriate in all communications with co-workers.

Individual Performance Goals & Objectives/Evaluation Criteria:

Measurement Process (optional):

Weight of Competency (optional): _____

CORE COMPETENCY: INTERPERSONAL SKILLS

Definition: Interacts effectively with others to establish and maintain smooth working relations.

- Demonstrates tact and diplomacy when resolving conflicts, addressing concerns directly with the individual(s) involved.
- Approach to conflict resolution is cooperative, creating enhanced teamwork, without hard feelings.
- Treats others with respect, courtesy, tact and friendliness and actively attempts to be helpful towards others.
- Accepts criticism, is open to new ideas and handles conflict constructively and diplomatically.
- Makes an effort to boost employee morale and create a positive work environment.
- Creates and maintains an environment that encourages open communication, mutual trust, inclusion, and one in which employees are listened to regardless of their position in the organization.
- Accepts and respects peers regardless of differing needs.

Individual Performance Goals & Objectives/Evaluation Criteria:

Measurement Process (optional):

Weight of Competency (optional): _____

CORE COMPETENCY: CUSTOMER SERVICE

Definition: Works effectively with internal and external customers/clients to satisfy service and product expectations and ensure the effectiveness of the department.

- Keeps appointments, call-return commitments, etc.
- Is available to the customer and provides accurate, consistent and honest information.
- Meets customer expectations in a timely manner and delivers what has been promised.
- Anticipates future needs/problems of customers and takes action to meet these needs or solve problems.
- Understands the customer from their point of view. Has a thorough knowledge of the customer's world and is able to anticipate the customer's requests.
- Demonstrates flexibility in meeting differing needs.

Individual Performance Goals & Objectives/Evaluation Criteria:

Measurement Process (optional):

Weight of Competency (optional): _____

CORE COMPETENCY: ACCOUNTABILITY

Definition: Employee's work behaviors demonstrate responsible personal and professional conduct, which contributes to the overall goals and mission of the department.

- Provides consistent, timely, high quality work.
- Meets assigned deadlines without additional prompting by supervisor or others.
- Manages work schedule and leave responsibly.
- When on leave, arrangements are made for "current" work/responsibilities to continue.
- Acts responsibly with confidential information, keeping it confidential.
- Employee completes work well in advance of deadlines so that the supervisor has plenty of time to review documents and make revisions if necessary.
- Assists co-workers in response to fluctuations in workloads for the benefit of the department.

Individual Performance Goals & Objectives/Evaluation Criteria:

Measurement Process (optional):

Weight of Competency (optional):_____

CORE COMPETENCY: JOB KNOWLEDGE

Definition: The employee is skilled in job-specific knowledge that is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.

- Possesses appropriate expertise to perform job at an acceptable level.
- When on the job, demonstrates thorough knowledge of the job in accordance with occupational and departmental standards.
- Exhibits significant knowledge level in areas of responsibility.
- Takes opportunities to increase knowledge of relevant job skills.
- Demonstrates innovative behaviors at work.
- Displays positive attitude related to development or changes.
- Maintains currency on changes, updates and improvements.
- Works to improve existing processes.
- Takes initiative to participate in training and activities that advance professional growth.

Individual Performance Goals & Objectives/Evaluation Criteria:

Measurement Process (optional):

Weight of Competency (optional): _____

CORE COMPETENCY: PERFORMANCE MANAGEMENT (Supervisors Only)

Definition: Effectiveness in managing the performance of subordinate employees, including developing plans, conducting reviews and performance evaluations, coaching, providing feedback and resolving disputes.

Planning:
- Prepares subordinates for their planning process in advance of their meeting.
- Prepares specific and concrete work related examples to support their expectations for their subordinates in each competency area.
- Ensures that subordinate objectives are linked to the department's/section's goals.
- Strives to consistently hire, promote and retain the best employees. Committed to absolute fairness in employment and human resource practices.

Progress Review:
- Coaches subordinates through the review process by providing concrete and specific feedback to assist them in completing their individual objectives.

Evaluation Process:
- Facilitates an objective evaluation of subordinates which accurately reflects their performance.
- Provides specific and constructive feedback to assist the employee with their future growth in the organization.
- Ensures performance related documents are submitted in accordance with departmental deadlines.
- Holds people accountable for their actions so that we create a work environment that fosters respect, dignity and inclusion.

Dispute Resolution:
- Discusses disputed issues related to the subordinate's performance evaluation in a fair and professional manner.
- Facilitates dispute resolution discussions using problem-solving skills that will preserve the working relationship with their employee.

Individual Performance Goals & Objectives/Evaluation Criteria:

Measurement Process (optional):

Weight of Competency (optional):

Final Evaluation/Rating Summary

Completing the final evaluation involves assigning a rating for each competency. Competency ratings are then averaged to arrive at the final rating; or, when the competencies are assigned a weight, the final rating must be calculated based on the weight of the competency and the rating given.

Competency	Weight (optional)		Final Rating		Points
Communication		X		=	
Interpersonal Skills		X		=	
Customer Service		X		=	
Accountability		X		=	
Job Knowledge		X		=	
Performance Management (Supervisors Only)		X		=	
Other Competency		X		=	
Total Weight (Must Equal 100%)			Total Points or Average of Ratings		

The following scale must be used to derive an overall performance rating based on the total points or average of the competency ratings:

1.0 to 1.79 = Level 1
1.8 to 2.69 = Level 2
2.7 to 3.00 = Level 3

Employee's Final Overall Evaluation/Rating: _____

Performance Rating Level Definitions

LEVEL 3 (EXCEPTIONAL)
This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

LEVEL 2 (SUCCESSFUL)
This rating level encompasses a range of expected performance. It includes employees who are successfully developing in the job, employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, exceed them. This is the employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

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

Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.

End of Performance Cycle Narrative Section

Supervisor Signature: _____ Date: _____

Employee Comments Section

Employee Signature: _____ Date: _____