

**The Colorado Department of Regulatory Agencies (DORA)  
Performance Management Program  
Updated - April, 2009**

**Background**

This document provides details of the Department of Regulatory Agencies' Performance Management Program. DORA's Program consists of the following components:

- I. Performance Planning and Management
- II. Training
- III. Annual Performance Salary Adjustments
- IV. Dispute Resolution
- V. Maintaining the Program

DORA's original Performance Planning and Management Plan was developed by the Executive Director's Office (EDO), consistent with requirements of the State's system-wide Performance Pay System, in response to SB 00-211, and based on consideration of employee and stakeholder input. The current program includes revisions required to reflect and accommodate personnel system changes, including Personnel Rules effective July 1, 2007.

The EDO has the responsibility, through the Director of Human Resources, division directors as appointing authorities, and supervisors as designated raters, of communicating details of the department's Performance Management Program to all employees. This is accomplished through a significant amount of information available on the department's intranet, as well as through annual planning sessions as described herein, held between supervisors and employees at the beginning of the annual (and/or each) performance management cycle.

DORA's Executive Director and Director of Human Resources, in conjunction with division directors as appointing authorities for the divisions, regularly evaluate the program to assure its quality and equitable administration, application and maintenance.

## I. Performance Planning and Management

### Performance Evaluations

Beginning April 1, 2007, performance is rated at one of three levels, as follows. The three levels are uniformly defined for all state personnel system employees, in accordance with the statewide standard and Personnel Rules. In addition to supporting Achievement Pay, rating levels are important because performance evaluations are used in other parts of the personnel system.

### Rating Levels and Definitions

Needs Improvement (1)	Successful (2)	Exceptional (3)
<p>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.</p> <p>Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations.</p> <p>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.</p>	<p>This rating level encompasses a <u>range</u> of expected performance and is critical to define in the performance plan.</p> <p>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.</p> <p>These employees are meeting all the expectations, standards, requirements, and objectives of their performance plan and, on occasion, exceed them.</p> <p>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.</p>	<p>This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment.</p> <p>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.</p> <p>The employee provides a model for excellence and helps others to do their jobs better.</p> <p>Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.</p>

### **Core Competencies**

As developed by the Colorado Department of Personnel and Administration, the Performance Management Program for DORA includes the uniform statewide “Core Competencies,” as follows:

<b>Core Competencies</b>
Communication
Interpersonal Relations
Customer Service
Accountability
Job Knowledge

These five core competencies are considered to be basic requirements, common to all state employees. Each core competency must be used in the performance planning and rating of employees. The total weight for the core competencies must be within the range of 15 to 25 percent.

### **Form/Automated System and Recordkeeping**

DORA utilizes an intranet-based, online Performance Planning and Management System (PPMS) for the documentation, recording and tracking of all employee performance planning, progress review, and evaluation activities. The electronically initialed (representing the employee’s signature) final copy of the performance plan and evaluation is documented and maintained in each employee’s official PPMS record.

Although submission of signed, hard-copy evaluations to DORA’s Human Resources Section at the end of the performance management year is not required, official personnel files will include a hard-copy of the front page of each performance evaluation conducted, including the employee’s overall final performance evaluation for each performance management year.

### **Accountability and Sanctions**

Supervisors are responsible for completing all phases of the performance management and evaluation cycle in a timely manner and in the automated system. Supervisors/Designated raters shall be evaluated on their performance management and evaluation of employees either by a specific job duty (goal and/or measure) or through the Job Knowledge and/or Accountability core competencies. Absent extraordinary circumstances, failure to plan and evaluate in accordance with the department’s program results in a corrective action and ineligibility for achievement pay. Supervisors who fail to complete plans or evaluations within 30 days of the corrective action are subject to Section 24-50-104 (c.5), C.R.S. (current statutory requirement for suspensions for supervisors failing to provide timely plans or evaluations). Additional sanctions, including disciplinary demotion, may be imposed for repeated failure to complete evaluations by July 1.

The **Performance Planning** process is characterized by the following:

- A planning session must be held between the supervisor and employee, and finalized performance plans are due to employees by May 1<sup>st</sup> of each year. For new employees or transferring employees, a finalized plan must be put into place and is due to the employee within 30 days of employment. Any extensions to these deadlines must be pre-approved by the Director of Human Resources.
- Employees moving from one position to another must have a performance evaluation completed by their current supervisor and new plan put into place that reflects their new duties. An employee promoting as a result of the reallocation of the position he/she occupies, requires modification to the current plan within 30 days of the promotion.
- Employee performance plans must be established with performance objectives that align with the Department's and the division's goals and objectives. Employee involvement and participation in the development of performance plans is highly encouraged, however, the supervisor is the individual legally responsible and accountable for defining a position, including the establishment of a performance plan.
- Performance feedback is to be provided and documented by supervisors during the performance management year, and must include at least one documented progress review.
- Modifications to the employee's performance plan may be necessary during the performance management cycle. If so, the employee and supervisor must discuss the modifications, and changes must be documented in the PPMS, and initialed by the employee and supervisor.

The **Progress Review** process is characterized by the following:

- In accordance with Personnel Rules, at least **one** documented progress review meeting between the supervisor and employee is required during each evaluation year. New DORA employees hired after December 1<sup>st</sup> of an evaluation year are not required to have a documented progress review for that evaluation period.
- The primary intent of a progress review is to provide feedback, in both directions, between the supervisor and employee. The progress review is typically not an evaluation (the purpose of which is to actually provide a performance rating).
- Progress reviews provide an opportunity to document and substantiate the employee's performance, and help support the rating at the end of the performance management year.
- Progress reviews provide an opportunity to formally discuss the first part of the year's performance by the employee, and to ensure that it is included and considered in the overall, final evaluation.

The **Performance Evaluation** process is characterized by the following:

- All employees must be evaluated, in writing, at least annually based on their job performance during the previous year.

- Evaluators assign a whole number, numerical rating (1, 2, or 3) to each job duty and core competency. The numerical rating for each job duty and core competency is multiplied by its respective weight (assigned at planning time) and totaled for an overall final rating based on the following:

<b>Numeric Rating</b>	<b>Level</b>	<b>Definition</b>
1	Level 1	Needs Improvement
2	Level 2	Successful
3	Level 3	Exceptional

- If an employee moves to a different position under another supervisor (within or out of DORA to another classified personnel system position), a final evaluation shall be completed and delivered to the new supervisor or department within 30 days of the effective date of the move. The date of the final evaluation should reflect the last date the employee is in the position, before moving to the other/new position.
- For employees changing/moving positions within DORA, these evaluations will be used in calculating the final overall (annual) evaluation. The final overall (annual) evaluation will be the weighted average of all evaluations during the performance management cycle.
- These guidelines shall be used in a timely manner by all appointing authorities and designated raters, including any person employed by the state who supervises an employee. Designated raters are evaluated on their performance management and evaluation of employees.
- Multi-source assessment processes, where feasible, should be considered for evaluating employees.
- Previous performance evaluations for employees who are new to DORA, but not new to the state personnel system (e.g., employees who have transferred, promoted, etc., from another state agency or position in the classified system), are considered in the performance evaluation process, but not used in formally calculating the final overall (annual) evaluation.
- Employees who resign or are terminated for performance reasons must have a final evaluation completed; and when possible, signed by the employee.
- Supervisors may conduct an evaluation for retiring employees or employees promoting as a result of a position reallocation.
- Supervisors are not required to complete a final (annual) performance evaluation for employees hired within two months (60 days) of the rating deadline; and a default rating of 2 (Successful) is assumed.
- Supervisors are required to complete a final (annual) performance evaluation for employees who are on extended leave at the end of the performance management cycle. The supervisor must notify the division director and Director of Human Resources of the absence; complete the evaluation through the review/approval stage; and expect to conduct the performance evaluation meeting and acquire requisite signatures when the employee returns.

- Early certification requires a performance evaluation *and* a rating of Successful (2) or better. This evaluation may be considered by the supervisor when conducting the final evaluation, but the automated system (PPMS) will not automatically use it in the calculation of the final overall (annual) evaluation.
- Supervisors who are resigning, retiring, or by any other action moving from one position to another, must conduct final evaluations for employees he/she will no longer supervise. These evaluations are used in calculating the weighted average for the final overall (annual) evaluation of the employee.
- The division director of each division is the official “reviewer” of employee performance evaluations for his/her respective division, and is required to review and approve performance evaluations before final ratings are provided to employees. Performance evaluations conducted by the division director (of his/her direct reports), will be reviewed by the Executive Director and/or HR Director. Division directors/reviewers will consider the accuracy, internal equity, quality and consistency of ratings and narratives, and provide direction to supervisors regarding them, before supervisors meet with employees to discuss the final evaluations. This review serves as an equitable and consistent quality assurance check for all ratings in that division, and throughout the department.
- In no case shall a rater and reviewer be the same individual for any performance rating; and in no case shall a performance evaluation be provided to an employee without the designated reviewer’s approval.
- Supporting documentation narratives are highly encouraged for all ratings, and are required for Exceptional (level 3) and Needs Improvement (level 1) ratings.
- All Exceptional (3) evaluations must be reviewed (and approved) by the respective division director/reviewer AND the Executive Director and Director of Human Resources prior to the release of ratings to the respective employees.
- The performance evaluation cycle is uniform within DORA, and consistent with the statewide performance management cycle. The performance management cycle begins April 1st, and ends March 31st of each year. All annual evaluations must be completed in April (exclusively between April 1 and April 30), and electronically initialed (signed) by April 30th. This deadline has been established to comply with Personnel Rules, and to allow time to complete administrative processes required to make pay rate changes for the July payroll payment date.
- Performance evaluations are based on qualitative ratings that will convert to one of the three statewide established and defined rating levels. A natural “bell shaped curve” of the number of individual rating level occurrences is anticipated (fewest at levels 1 and 3, and the most at level 2).
- DORA does not establish quotas or forced distribution processes for determining the number of ratings in any of the three performance levels.
- A pre-evaluation meeting or conversation is encouraged, to provide an opportunity for the employee and supervisor to exchange information to ensure significant performance data is considered and included in the evaluation process.

- Immediate supervisors have the first line of responsibility to plan and evaluate an employee's job performance in a timely manner. If the supervisor does not fulfill this responsibility, a reviewer (the second level supervisor) is responsible for completing the plan and/or evaluation. If the reviewer fails to plan and/or evaluate the employee in a timely manner, the reviewer's supervisor is responsible for completing the plan and/or evaluation and on up the chain of command until the plan and/or rating is completed as required by law. In the event an employee fails to receive a final evaluation, the employee will be deemed to have earned a Successful (level 2) rating.
- Evaluators giving a Needs Improvement (Level 1) rating, denoting unsatisfactory performance, must develop a performance improvement plan or issue a corrective action. Performance improvement plans and corrective actions must provide a reasonable amount of time for the employee to demonstrate performance improvement and must set a reevaluation date. A performance improvement plan is not a corrective action within the legal meaning of State Personnel Board rules. If performance is still unsatisfactory at the time of reevaluation under a performance improvement plan, a corrective action shall be given. If performance is still unsatisfactory at the time of reevaluation under a corrective action, the appointing authority may take disciplinary action up to and including demotion or termination.

## II. Training

In compliance with Personnel Rules, training is mandatory for all raters. DORA's Performance Management training is designed and conducted to provide employees and supervisors with the information and tools necessary for successful functioning in the state and department's performance management and pay system and program. Training content presents information regarding the mandates of the statewide performance management system, the details of the Department of Regulatory Agencies' Performance Management Program, areas where the department has exercised discretion and flexibility to develop unique guidelines and policies (within the parameters of the statewide plan), and changes mandated by the Department of Personnel and Administration, personnel rules, statewide parameters, etc.

On-going training is offered regularly and focuses on a variety of subjects to address the needs of both supervisors and employees in regard to performance planning and management, performance evaluation and ratings, calculation of performance salary adjustments, and use of DORA's intranet-based online Performance Planning and Management System for the recording and retention of all employee performance planning and evaluation data. *Annual Performance management training is mandatory for all supervisors, and highly encouraged for all employees.* Additionally, to emphasize supervisor accountability, all supervisors have an element of their performance plans that is utilized to evaluate their performance management effectiveness. In compliance with statewide guidelines, sanctions for failure to plan or evaluate will be imposed as discussed in the Accountability and Sanctions section of this document.

### III. Annual Performance Salary Adjustments

All statewide compensation plan system requirements are incorporated into DORA's Performance Management Program. A complete listing of the statewide requirements and system parameters is available on the Department of Personnel and Administration's web site.

Uniform Statewide Performance Salary Adjustments: Prior to the payment of annual performance salary adjustments, the State Personnel Director will publish the percentage for any base and non-base achievement pay for performance levels based on the available statewide performance funding.

All annual performance salary adjustments shall be effective with the July payroll. Base building adjustments are permanent and paid as regular salary.

The **distribution/“pay-out” model and process** is characterized by the following:

- Level 1 (Unsatisfactory) performers are ineligible for annual performance salary adjustments. A level 1 rating denoting unsatisfactory performance will result in a performance improvement plan or a corrective action.
- Level 2 (Successful) performers are eligible for base-building performance salary adjustments, up to the pay grade maximum for the position's classification. If base pay is at grade maximum or in saved-pay above the maximum, the employee is ineligible for a performance salary adjustment.
- Level 3 (Exceptional) performers are eligible for base-building performance salary adjustments up to the pay range maximum for the position's classification. Any portion of the adjustment amount that exceeds the pay range maximum shall be paid as a one-time lump sum in the July payroll (as a non-base building portion of the salary adjustment). Employees who receive a Level 3 rating and are at the pay grade maximum for the position's classification, or the “salary lid” (or are above the pay range maximum in “saved pay”), are only eligible for a non-base building performance salary adjustment. The statutory salary lid does not apply to any non-base building portion of the adjustment. This level represents only those employees who meet the standard statewide definition of Level 3 performance.
- Senior Executive Service (SES) and Governor Appointees are not eligible for performance salary adjustments.
- Temporary employees are paid in accordance with contracts or agency agreements and are therefore, not eligible for performance salary adjustments
- Pay range maximum is the same as what was formerly called “traditional maximum” or Step 7.
- Effective July 1, 2002, there are no anniversary increases.
- Information as required by the State Personnel Director, will be reported by specified deadlines.
- The JBC, with the approval of the General Assembly, determines the amount of funding. All distributions of salary adjustments are limited by the funding restrictions and limitations imposed by the General Assembly.
- All performance salary adjustments are effective on July 1. The salary adjustment is based on the final overall (annual) rating. The employee must be an employee of DORA on July 1 following the evaluation period ending in March to receive payment of the

salary adjustment. The employee's department as of July 1 is responsible for payment of the adjustment.

- Employees do not have an option concerning the timing of the performance salary adjustments. All base-building salary adjustments will be applied as an increase to base pay commencing with the July payroll. All one-time awards will be paid as a lump sum to employees, in July payroll.
- For eligible employees, performance salary adjustments are base building up to the range maximum of the class of the employee's position. To assure consistent treatment of all DORA employees, source of funds (e.g., cash or general), methods of funding (e.g., appropriated, memorandum of understanding, or grant), and length of state service are not criteria for determining or distinguishing performance ratings or performance salary adjustments.
- An employee's annual performance salary adjustment shall not be denied because of a corrective or disciplinary action issued for an incident after the close of the previous performance management cycle.
- Performance salary adjustments for employees hired into the department during the performance management cycle are eligible to receive the full percentage of base and/or non-base achievement pay on July 1<sup>st</sup> (based on the overall rating received); not a pro-rated adjustment.
- Performance salary adjustments for employees hired into the Department of Regulatory Agencies between April 1 and June 30 will receive the salary adjustment for Level 2 performers, absent a final evaluation for the previous performance management cycle.
- DORA has instituted **DOR Awards**, a department-wide, individual and team performance incentive award program, to supplement performance based salary adjustments. Additionally, division and cross-division employee incentive and award programs have been established which supplement salary-based performance adjustments. DORA's Performance Management Program does not provide for non-cash awards

#### IV. Dispute Resolution

In order to support and encourage dialogue and communication and to preclude problems before developing into disputes, supervisors are encouraged to involve employees in all facets of performance management, including drafting performance plans. Understanding, agreement and communication are important aspects of effective performance planning and management. Signing a performance plan, progress review or final overall (annual) evaluation does not in any way waive or forfeit an employee's opportunity or right to pursue an issue through (or subject to) the dispute resolution process.

The dispute resolution process is an open, impartial process that is not a grievance or an appeal. Every effort shall 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.

The dispute resolution system and processes for the performance pay program have two stages: the Department Internal Stage and the Colorado Department of Personnel and Administration External Stage. Pursuing resolution of disputes informally at the internal dispute resolution stage, before using the external dispute resolution process, is required by Personnel Rules and the Dispute Resolution policy of the State Personnel Director.

Only issues as originally presented in writing shall be considered throughout the dispute resolution process.

No party has an absolute right to legal representation, but may have an advisor present. The parties are expected to represent and speak for themselves.

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

### **Internal Dispute Resolution**

The purpose of the Internal Dispute Resolution process is to create a fair and unbiased opportunity for the parties involved to have issues heard and to attempt a mutually agreeable and informal resolution. DORA's internal dispute resolution process complies with the requirements of personnel rules; has been approved by the State Personnel Director; and is characterized by the following:

Only the following matters are subject to the dispute resolution process:

- the individual performance plan, including lack of a plan during the planning cycle;
- the individual final overall performance evaluation, including lack of a final overall evaluation;
- the application of DORA's Performance Management Program to the employee's plan and/or final overall evaluation.

The following matters are not subject to the dispute resolution process:

- the content of the state and DORA's Performance Management Program;
- matters related to the funds appropriated;
- performance evaluations and performance salary adjustments or achievement pay of other employees.

Any of the timeframes for the Internal Dispute Resolution process may be modified or suspended, if agreed to by both parties, including deferral of action to allow the parties a chance to resolve the issues outside the scope of the Internal Dispute Resolution process or to pursue alternative dispute resolution/mediation.

### **Responsibilities and Timeframes:**

**Employee:** To initiate the internal dispute resolution process, an employee must complete and submit the *Notice of Intent to Dispute Form* (available on the Intranet, under Personnel) to the supervisor, with copy to the appointing authority/Division Director and Director of Human Resources. The form (and any attachments or supporting documentation) must be filed within ten (10) days of the action or occurrence being disputed. If the employee fails to completely or timely submit the documentation in accordance with this process, the dispute shall be considered incomplete or untimely, and the dispute will be closed. The appointing authority/Division Director will send notice of the closure to the employee and all other persons noticed originally in the *Notice of Intent to Dispute*.

**Supervisor:** The supervisor may file a response to the employee's documentation of the dispute within seven (7) days of receipt of the *Notice of Intent to Dispute Form* and any supporting documentation. The supervisor must send the response to the employee, with copy to the appointing authority/Division Director and Director of Human Resources. If the supervisor decides not to file a response, s/he must send written notification to the employee, the

appointing authority/Division Director, and the DORA Director of Human Resources indicating that there will be no response.

Appointing authority/Division Director: The appointing authority/Division Director shall be the decision-maker in DORA's Internal Dispute Resolution Process.

- The appointing authority/Division Director may appoint an objective person or panel to make recommendations, or may delegate the decision, in writing, with pre-approval from the Director of Human Resources.
- If the dispute concerns the actions of the appointing authority, the department, may (but is not required to) provide a process by which a different individual issues the final departmental decision.

Within ten (10) days of receipt of the supervisor's response, the appointing authority shall schedule and hold a resolution meeting(s) with the employee and supervisor (either individually, together or both), to informally discuss and attempt to resolve the dispute. The meeting(s) shall include the opportunity for the employee to clarify the issues of the dispute, and for the employee and supervisor to attempt to reach a mutually agreeable resolution; which if applicable, must be documented by the appointing authority and initialed by all parties at the end of the final meeting.

Regardless of whether a full or partial mutually agreeable resolution is reached during the meetings, the appointing authority shall issue a written decision within twenty (20) days of receipt of the supervisor's response. The written decision should be brief, concise, and minimally contain a summary of the dispute including all information that was reviewed and considered. The written decision must be provided to the employee, supervisor, and DORA Director of Human Resources.

- If the issues of the dispute were resolved during the resolution meetings, the written decision must make a finding of fact as to the process review; recommendations, if any; and document the mutually agreed upon resolution(s), expectations, and actions required by all parties.
- If all issues of the dispute were NOT resolved during the resolution meetings, the written decision must make a finding of fact as to the process review; recommendations, if any; document any mutually agreed upon resolution(s), expectations, and actions required by the parties, if any; and include the final, department decision regarding the issues.

In rendering the final decision, the appointing authority/Division Director is limited to reviewing the facts surrounding the current action, within the limits of DORA's Performance Management Program. A decision cannot conflict or be inconsistent with, or recommend alterations or modifications to DORA's Performance Management Plan or the statewide performance management and pay system.

Decision makers shall not substitute their judgment for that of the rater or reviewer. The decision-maker has the authority to instruct a rater to:

- follow the department's Performance Management Program and process;
- correct an error;
- reconsider an individual performance plan or evaluation;
- consider other resolution processes, such as mediation.

Department decisions regarding an employee's plan and/or evaluation are final at the Internal Dispute Resolution stage and no further recourse is available.

## **External Dispute Resolution**

Only issues involving the application of DORA's Performance Management Program to the individual employee's performance plan and/or evaluation may proceed beyond the department level to the State Personnel Director, after completion of the Internal Dispute Resolution process.

Decisions rendered and issued on matters that are disputable at the external stage must include language that notifies the employee that he/she may submit a written request for an external review by the State Personnel Director.

Within five (5) days from the date of issuance of the department's final decision, the employee must file a written request for review with the State Personnel Director, Attention: Appeals Processing, 1313 Sherman Street, Room 122, Denver, CO 80203. This request for external review shall include a copy of the original issue(s) submitted in writing, the department's final decision, and if applicable, a copy of the DORA's Performance Management Program in dispute.

The State Personnel Director or designee shall retain jurisdiction but may select a qualified neutral third party to review the matter. The Director or designee shall issue a written decision that is final and binding, within 30 days.

The scope of authority of individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the department's performance management 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 resolution stage). Further, these individuals shall not render a decision that would alter the department's performance management program.

In reaching a final decision at the external stage, individuals have the authority to instruct a rater to follow a department's performance management program; correct an error; or, reconsider an individual performance plan or final overall evaluation. These individuals may also suggest other appropriate processes such as mediation.

## **V. Maintaining the Program**

A DORA Executive Committee, comprised of the Department of Regulatory Agencies Executive Director, the Director of Human Resources, selected Managers/Section Heads of the Executive Director's Office, and Division Directors (or a selected representative from each division), will convene to evaluate, determine and maintain the quality and equitable application of this plan and pay program.

This document presents the foundation of DORA's Performance Management Program and the state's performance pay system that was developed with input from various stakeholders. As the performance pay system progresses, the plan and performance management process remain open to refinement and improvement. Public hearings that are an integral part of the state's process for adoption of new rules and procedures continue to encourage and establish new ideas and requirements. Finally, system evaluation will likely continue to drive additional changes in order for the performance pay system to remain relevant and effective.

DORA's Program is intended to remain flexible and adaptive to changing statewide requirements.

**Department of Regulatory Agencies (DORA)**

**PERFORMANCE MANAGEMENT PROGRAM - NOTICE OF INTENT TO DISPUTE  
Internal Dispute Resolution Process**

**EMPLOYEE:** \_\_\_\_\_ **DATE SUBMITTED:** \_\_\_\_\_

**SUPERVISOR:** \_\_\_\_\_ **DATE SUBMITTED:** \_\_\_\_\_

**DIVISION:** \_\_\_\_\_

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I, \_\_\_\_\_, hereby give notice that I intend to dispute the following:

- \_\_\_\_\_ 1) My individual performance plan, including lack of a plan during the planning cycle.
- \_\_\_\_\_ 2) My individual performance evaluation, including lack of a final overall evaluation.
- \_\_\_\_\_ 3) The application of DORA's Performance Management Program to my individual plan and/or final evaluation.

Check all that apply, and provide a brief summary of the reason for the dispute in the space provided below. Attach supporting documentation, as necessary.

Brief summary of the reason for the dispute:

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cc: DORA'S Director of Human Resources  
Supervisor  
Appointing Authority/Division Director

## Department of Regulatory Agencies Performance Plan and Evaluation Form

### Identification

Name: \_\_\_\_\_  
Class Title: \_\_\_\_\_

Appraisal Period: \_\_\_\_\_  
Appraisal Reason: \_\_\_\_\_  
EID Number: \_\_\_\_\_  
Agency Name: \_\_\_\_\_  
COFRS Code: \_\_\_\_\_

### Planning Section

The employee has been provided a Performance Plan and understands that it is his/her responsibility to become familiar with, and to understand and adhere to departmental policies and procedures. These are located on the Department's Intranet site (<http://dora>).

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

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

**PROGRESS REVIEW  
HELD**

Supervisor Initial: \_\_\_\_\_  
Employee Initial: \_\_\_\_\_  
Date: \_\_\_\_\_

### Modification of Plan

Date	Supv Initials	Emp Initials	Date	Supv Initials	Emp Initials
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### Evaluation Section

Scale:	Needs Improvement (1)	Successful (2)	Exceptional (3)
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The performance rating for the appraisal period is:

Needs Improvement       Successful       Exceptional

Total Points

The calculated Final Official Rating for the appraisal year is:

Needs Improvement       Successful       Exceptional

Final Official Rating  
Total Points

\_\_\_\_\_  
Supervisor Signature Date      Position No.

\_\_\_\_\_  
Employee Signature Date      Position No.

Agree  Disagree with the evaluation

\_\_\_\_\_  
Reviewer Signature Date

<b>Performance Management</b>			
<b>Scale:</b>	<b>Needs Improvement (1)</b>	<b>Successful (2)</b>	<b>Exceptional (3)</b>
<b>Job Duty :</b>			<b>Weight</b>
<b>Goal 1:</b>			
Measure 1:			
Measure 2:			
Measure 3:			
<b>Goal 2:</b>			
Measure 1:			
Measure 2:			
Measure 3:			
<b>Goal 3:</b>			
Measure 1:			
Measure 2:			
Measure 3:			
<b>Goal 4:</b>			
Measure 1:			
Measure 2:			
Measure 3:			
<b>You may have up to 8 job duties, up to 8 goals within a job duty, and up to 8 performance measures within a goal.</b>			

February 7, 2008 10:08 am Version: 3

Core Competencies			
Scale:	Needs Improvement (1)	Successful (2)	Exceptional (3)
<b>Communication</b> Effectively communicates by using appropriate channels, exchanging information appropriately and factually, and actively listening and sharing relevant information with others so as to anticipate problems and ensure the effectiveness of the Department of Regulatory Agencies.			<b>Weight</b>
<b>Element</b>			
• Provides accurate and timely information			
• Communicates in a well-organized, courteous, and effective manner			
• Listens effectively and sincerely to others' ideas, problems, suggestions			
(optional) Adapts communication methods to respond to different audiences			
(optional) Involves others in problem solving and seeks and considers ideas from others on issues that affect them			
(optional) Listens carefully to others' concerns before reacting; seeks clarification as appropriate			
(optional) Demonstrates effective public greeting skills			
(optional) Demonstrates effective phone skills			
(optional) Seeks feedback on the effectiveness of written and oral communication			
(optional) Provides clear instructions and expectations			
(optional) Works in an open manner, shares information with others to get the job done			
(optional) Expresses ideas clearly and effectively orally			
(optional) Expresses ideas clearly and effectively in writing			
(optional) Maintains confidentiality, and exercises good judgment about what to say and when to say it			
(optional) Responds in a prompt and friendly manner to requests and inquiries			
(optional) Makes efforts to keep others informed			
(optional) Meets routinely with supervisor and key customers to exchange information and clarify expectations			
(optional) Asks appropriate questions to clarify information/needs			
(optional) Expresses opinions when appropriate			

February 7, 2008 10:08 am Version: 3

<b>Core Competencies</b>			
<b>Scale:</b>	<b>Needs Improvement (1)</b>	<b>Successful (2)</b>	<b>Exceptional (3)</b>
<b>Interpersonal Relations</b>			<b>Weight</b>
Interacts with others to develop, establish and maintain smooth and effective working relationships; demonstrates tact, diplomacy and effective social and business skills; and contributes to maintaining a high level of morale and motivation.			
<b>Element</b>			
• Is sensitive to and respects the opinions, feelings and needs of others			
• Takes personal responsibility for own words and actions			
• Maintains positive work relationships			
(optional) Is cooperative and responsive			
(optional) Builds trust and confidence and works with integrity			
(optional) Contributes to a positive work environment through their interactions with others			
(optional) Accepts criticism and is open to new ideas			
(optional) Handles confrontation and/or conflict constructively and diplomatically			
(optional) Promotes understanding and cooperation			
(optional) Actively encourages a team approach, when appropriate			
(optional) Well regarded by colleagues, values and can interact easily with a diverse workforce			
(optional) Pleasant, friendly, affable, cheerful			
(optional) Polite, courteous, empathetic			
(optional) Demonstrates respect for responsible dissent			
(optional) Acknowledges and appreciates the contributions and/or assistance of others			
(optional) Respects other persons' time and priorities			
(optional) Treats others fairly and without prejudice or bias			
(optional) Constructively participates in conflict and/or problem resolution efforts and maintains objectivity during discussions and conflict situations			
(optional) Constructively discusses important issues			
(optional) Addresses concerns appropriately and in a timely manner			
(optional) Demonstrates positive personal regard when confronting problems with others			
(optional) Behaves in ways designed to keep problems impersonal whenever possible			
(optional) Works through conflict for positive solutions/results			
(optional) Learns from conflict and makes appropriate changes			
(optional) Takes initiative to improve working relationships and foster feelings of mutual respect with coworkers and customers			

February 7, 2008 10:08 am Version: 3

Core Competencies			
Scale:	Needs Improvement (1)	Successful (2)	Exceptional (3)
<b>Customer Service</b>			<b>Weight</b>
Understands who customers are and behaves in a businesslike manner to work effectively with internal and external customers to fulfill the mission, goals and objectives of the Department and to satisfy customer expectations.			
Element			
• Is approachable and responsive			
• Addresses the needs of customers with dignity, respect and courtesy			
• Provides accurate and prompt service to all customers			
(optional) Identifies customer needs through courteous questioning and demonstrates a sincere desire to be helpful			
(optional) Shows patience and professionalism with complaining customers and/or employees			
(optional) Understands and sets appropriate limits for customers			
(optional) Is available to the customer and provides accurate, consistent, and honest information			
(optional) Listens to the customer and provides feedback that will benefit the customer			
(optional) Effectively introduces him/herself to others (e.g., customers)			
(optional) Keeps appointments, call-return commitments, etc.			
(optional) Considers and recommends alternatives to customers, as appropriate, and offers appropriate and innovative solutions to problems			
(optional) Demonstrates flexibility by adapting to changes in priorities and the work environment			
(optional) Strives to satisfy customer needs			
(optional) Responds promptly to requests for information and/or assistance			
(optional) Follows up with customers, in a timely manner, to insure satisfaction			
(optional) Behavior generates trust in commitments made and reliability in information given (delivers what has been promised)			
(optional) Anticipates future needs/problems of customers and takes action to meet these needs or solve problems			
(optional) Makes efforts to thoroughly understand the customer's point of view			

February 7, 2008 10:08 am Version: 3

Core Competencies			
Scale:	Needs Improvement (1)	Successful (2)	Exceptional (3)
<b>Accountability</b>			<b>Weight</b>
Demonstrates a strong work ethic that relates to accomplishing job assignment and the agency mission, and work behaviors demonstrate responsible personal and professional conduct, and a willingness to invest time, energy and ideas that contribute to the overall mission, goals and objectives of the Department.			
<b>Element</b>			
• Demonstrates initiative and critical thinking to improve professional growth and the functioning of the agency			
• Conveys a positive and professional image of the agency to others			
• Displays loyalty, honesty, integrity and support regarding work and section objectives			
(optional) Reacts to tasks and changes with a "can-do" attitude			
(optional) Completes work and assignments within established timelines and routinely uses time efficiently (without additional prompting by supervisor or others)			
(optional) Exercises professional creativity and/or suggests, promotes positive options for change			
(optional) Displays personal/professional pride in his/her work and/or advocates/encourages pride and professionalism in the work of the agency			
(optional) Supports/Takes responsibility for learning and complying with supervisory and management decisions, policies and procedures			
(optional) Responds positively to feedback, guidance and constructive criticism			
(optional) Brings problems to the attention of those they concern			
(optional) Considers the impact of decisions on others			
(optional) Demonstrates sound problem analysis and decision making skills and/or anticipates problems and recommends solutions			
(optional) Doesn't abandon position to avoid opposition, pressure or criticism			
(optional) Knows how to say "no" when necessary, without being inflexible			
(optional) Contributes suggestions, advice, information and perspective			
(optional) Maintains a physical work environment that reflects a positive/professional image			
(optional) Adheres to established work schedule			
(optional) Constructively accepts responsibility/accountability for own shortcomings			
(optional) Demonstrates punctuality			
(optional) Administrative paperwork is accurate and submitted on time			
(optional) Is aware of, responds favorably to, or constructively questions procedures and practices			
(optional) Demonstrates a commitment to do what it takes to get the job done			
(optional) Knows how to keep confidential information confidential			
(optional) Adapts well to new situations, unusual demands, emergencies, or critical incidents			
(optional) Avoids gossip and negative rumors			
(optional) Demonstrates a willingness to do additional work and/or assist coworkers			
(optional) Demonstrates concern for and sensitivity to the larger communities/citizens served by the organization			



<b>Core Competencies</b>			
<b>Scale:</b>	<b>Needs Improvement (1)</b>	<b>Successful (2)</b>	<b>Exceptional (3)</b>
<b>Job Knowledge</b>			<b>Weight</b>
Demonstrates skills, job-specific knowledge and abilities necessary to provide the appropriate quantity and quality of work, in a timely and efficient manner.			
<b>Element</b>			
• Provides consistent, timely, high quality work			
• Demonstrates skill in the application of occupational knowledge			
• Displays initiative consistent with job performance expectations			
(optional) Possesses appropriate expertise to perform job at a professional level			
(optional) Demonstrates interest in expanding occupational knowledge and skills that relate directly to the agency's mission, goals and objectives			
(optional) Takes initiative to learn higher level skills that enhance ability to contribute to the organization			
(optional) Demonstrates motivation to acquire new skills and knowledge to strive for improved performance			
(optional) Seeks new and/or additional training opportunities to obtain mastery over tasks, expand personal knowledge and add value to the work group			
(optional) Demonstrates professional job-specific/technical skills necessary to provide the appropriate quality of work			
(optional) Takes responsibility for learning/keeping up to date on occupational trends, business practices, and changes and progress in job related subject matter			
(optional) Performs standard duties and takes on additional projects and/or assignments that have a significant impact on the functions or role of the agency			
(optional) Takes opportunities to expand, enhance and/or increase knowledge of relevant job skills			

February 7, 2008 10:08 am Version: 3

**Performance Appraisal Narrative**  
**(should include employee's strengths and areas for development)**

**Reviewer's Comments**

February 7, 2008 10:08 am Version: 3

Performance Rating For Michelle Z Pedersen (04/01/2007 - 03/31/2008)						
Scale:	Needs Improvement (1)	Successful (2)	Exceptional (3)			
<b>Job Duties</b>		<b>Points</b>	<b>x</b>	<b>Weight</b>	<b>=</b>	<b>Rating</b>
1.			x		=	
2.			x		=	
3.			x		=	
4.			x		=	
5.			x		=	
6.			x		=	
7.			x		=	
8.			x		=	
<b>Core Competencies</b>		<b>Points</b>	<b>x</b>	<b>Weight</b>	<b>=</b>	<b>Rating</b>
1. Communication			x		=	
2. Interpersonal Relations			x		=	
3. Customer Service			x		=	
4. Accountability			x		=	
5. Job Knowledge			x		=	
<b>Weights Must Total 100%</b>						
<b>Totals</b>						
The performance rating for the appraisal period from 04/01/2007 to 03/31/2008 is:						
Needs Improvement <input type="checkbox"/> Successful <input type="checkbox"/> Exceptional <input type="checkbox"/>						
<b>If this rating is "Needs Improvement", an official action (Performance Improvement Plan or Corrective Action) must be attached.</b>						
<b>No written narrative explanation is required.</b>						

February 7, 2008 10:08 am Version: 3

<b>Performance Level Definitions</b>		
<b>Needs Improvement (1)</b>	<b>Successful (2)</b>	<b>Exceptional (3)</b>
<ul style="list-style-type: none"> <li>● Fails to meet expectations; needs to demonstrate improvement in order to satisfy the core expectations of the position.</li> <li>● Performance is unsatisfactory and does not consistently and independently meet expectations and requirements as set forth in the performance plan.</li> <li>● Performance requires substantial monitoring to achieve consistent completion of work; requires more constant, close supervision; clearly less than acceptable, as well as below minimum position requirements.</li> <li>● Unable to adapt to change.</li> <li>● Unsatisfactory; skills are at a level detrimental to performance.</li> <li>● The need for improvement is recognized and identified, and must occur as outlined in the required performance improvement plan or corrective action.</li> <li>● Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating.</li> </ul>	<p>This rating level encompasses a range of expected performance and is the most important to define in the performance plan.</p> <ul style="list-style-type: none"> <li>● Exhibits competency in the work behaviors, skills and assignments for a job (includes employees who are successfully developing in a job).</li> <li>● Consistently meets expectations of regular assignment.</li> <li>● Meets, and on occasion may exceed, all of the expectations, standards, requirements and objectives in the performance plan.</li> <li>● Reliably performs the job assigned.</li> <li>● Contributing and exhibiting behavior competently and as expected.</li> <li>● Satisfactory; acceptable, accurate and complete work.</li> <li>● Meets customer expectations and technical specifications.</li> <li>● Capable and qualified.</li> <li>● Assignments accomplished effectively with a normal amount of direction.</li> <li>● Positive attitude and ability to adapt well to change.</li> </ul>	<ul style="list-style-type: none"> <li>● Accomplished performance; consistently exhibits the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned.</li> <li>● Work has a documented impact beyond the regular assignment and performance objectives directly support the mission of the organization.</li> <li>● Innovative, above-standard, commendable.</li> <li>● Anticipates opportunities, prevents problems.</li> <li>● Higher production levels.</li> </ul>

February 7, 2008 10:08 am Version: 3