

I. OVERVIEW

Introduction

Uniform Statewide Achievement Pay is the response of Adams State College to the Colorado Performance Management System initiative designed to measure job performance and determine appropriate achievement pay for state employees. Progressive performance management, collaborative performance evaluation and achievement pay are all incorporated into the program.

Adams State College Mission Statement

Adams State College is committed to serving the higher education needs of the citizens of Colorado. The College seeks to attract and retain high quality undergraduate and graduate students from Colorado and the San Luis Valley. The mission of the College is threefold: 1. To enhance and provide quality education to the Colorado citizenry, 2. To promote public service in the Alamosa area and statewide, and 3. To seek research opportunities that serve to compliment the educational instructional mission of the College.

The Adams State College community aspires to provide an environment that promotes a wellness lifestyle free of addictive behaviors. It shall be a goal of Adams State College to maintain both a healthy campus and community atmosphere conducive to learning and the personal safety for the entire community

Guiding Principles

The principles by which the performance management process will be guided were developed from a group of institutional cultural characteristics and global components as identified by the Task Force for the Adams State College Performance Management Program.

1. Orientation and Training

The Adams State College Performance Management Program requires initial orientation and ongoing training in all phases of performance management planning for all employees, with continuing emphasis on new employees and current employees who are making lateral moves or are being promoted.

2. Performance Planning

Development of individual performance plans will be a major component of performance planning. The development of the individual performance plans will involve a planning session between the supervisor and the employee. The planning session will take place at the beginning of each performance cycle. Plans will include goal setting, continuing or periodic

reviews, and an evaluation and appraisal component that is connected to levels of performance.

3. Professional Development

Professional development components may be included in all performance plans. Special consideration should be given to the personal development of leadership skills.

4. Communication

The process of coaching, mentoring and providing feedback is designed to enhance and promote effective internal and external communication.

5. Customer Service

Customer service philosophy and strategies should be incorporated into all phases of the Performance Management Program, emphasizing a sense of community and team building.

6. Motivation

Supervisors should be trained to lead by positive example, motivate by example and, where appropriate, to teach team building skills to the employees they supervise.

Performance Management Values

1. Performance management is a business tool that helps organizations, as well as individuals, achieve their visions, goals and strategic objectives in the work environment.
2. A successfully implemented performance management system is the foundation for other programs, policies, procedures and initiatives.
3. Performance management is an ongoing process, not a one-time event. Such a system is critical for organizational and individual success.
4. Each employee shares responsibility and is accountable for making such a system successful.
5. Managers, supervisors and employees must evaluate and clearly define objectives and the means of meeting those objectives.
6. Training is a key component to a successful performance management system.
7. A successful performance management system encourages open, ongoing communication to build trust and develop a work environment that focuses on continuous improvement and increased productivity.

II. PERFORMANCE MANAGEMENT IMPLEMENTATION PLAN

II.A. ORIENTATION AND TRAINING

Training will be provided for all new employees, all supervisors and staff, and those who make lateral moves or are promoted. Training will include an orientation component for all new employees. The following are broad categories of orientation and training:

1. Orientation

(a) Institutional

A general orientation will be conducted by the Human Resources Department for all new state classified employees and those administrative employees who supervise state classified staff. Orientation will include the institutional mission, vision and strategic plan, as well as an explanatory overview of the performance management plan.

(b) Departmental

Employees will receive instruction, at the departmental level, on how the department mission/goals support the institutional mission/goals.

2. Customer Service Training

(a) Institutional

Employees are encouraged to participate in current, general institutional customer service training seminars.

(b) Departmental

Departments should instruct employees in departmental customer service requirements, and should reinforce institutional training seminar instruction.

3. Departmental Training

(a) The department will provide training appropriate to each specific position.

(b) Whenever possible, employees who formerly held a specific position may assist in training the employee new to that position.

4. Performance Management Training

Performance Management training is mandatory for all supervisors, and all employees should be encouraged to attend ongoing training sessions.

Human Resources will provide ongoing training in the following areas:

- (a) Formulating measurable behavior indicators
- (b) Creating a work journal
- (c) Self-evaluation and review
- (d) Weighting of performance measures
- (e) Designing specific and measurable individualized goals
- (f) The procedures related to an overall rating of *Needs Improvement*
- (g) Appropriate use of performance management forms
- (h) Identification of effective non-cash performance awards

II.B. PERFORMANCE MANAGEMENT

Performance Management provides a framework for employees to participate in establishing their own performance goals and objectives, and to be full participants in reviewing their individual progress toward those goals. It provides the supervisor with an opportunity to include the employee in the planning process, as well as setting the parameters for review of progress, annual appraisals and appropriate achievement pay. Performance management is continuous and dynamic. It includes performance planning, feedback and coaching, interim evaluations, annual performance evaluations and appraisal. The first statewide performance cycle shall end no later than March 31, 2006. All subsequent cycles shall be April 1 through March 31. The annual evaluation due date for all classified employees at Adams State College shall be April 10 of each fiscal year.

1. Performance Planning

Each individual employee's performance plan outlines the tasks, responsibilities, goals and measurements for a particular job. Statewide uniform core competencies will be incorporated into every employee's performance plan and will be considered during every employee's annual evaluation. Critical job duties are specified in the employee's PDQ. Planning shall occur within the following schedule and procedures:

- (a) Within 30 days of initial hire or 30 days of the annual evaluation due date, the employee's supervisor, with input from the individual employee, shall develop a performance plan for that employee. The performance plan should include "SMART" goals and expectations, i.e. goals should be Specific, Measurable, Attainable within a set time frame, Results-oriented and Trackable over time.
- (b) If the employee's supervisor does not develop a performance plan for the employee, the next higher level supervisor shall develop a performance plan for that employee. If the next

level supervisor fails to plan in a timely manner, the third level supervisor is responsible for completing the plan. Responsibility for plan completion continues on NI the chain of command until the plan is completed as required by law.

- (c) All supervisors will have a factor in their own performance plan that evaluates the effectiveness of performance management of their employees.

2. Coaching, Feedback and Progress Review

- (a) The employee is encouraged to maintain an important events journal that documents significant work achievements and other important incidents.
- (b) The supervisor should provide the employee with regular coaching and ongoing feedback. This allows the employee an opportunity to receive clarification of expectations and additional training/coaching as needed.

Interim and/or ongoing progress reviews shall be provided to the employee by the supervisor no less than once during any rating period. These progress reviews shall include a review of the goals and objectives set forth in the employee's Performance Plan, and modification of the Performance Plan as needed and appropriate.

3. Performance Evaluation/Appraisal

- (a) Employees shall receive a written Performance Evaluation at least annually. The employee's evaluation shall be based on the employee's past year's performance plan.
- (b) Performance will be rated based on three levels, with Level 1 indicating needs improvement performance.
- (c) Quotas or forced distribution processes for determining the number of ratings in any of the three performance levels will not be established.
- (d) Where feasible, multi-source assessment processes will be considered for evaluating employees.
- (e) At least five (5) days prior to the annual Performance Evaluation the supervisor shall provide the employee with an *Employee Self Review Worksheet*. The employee is encouraged to complete the worksheet, which is designed to

help the employee and the supervisor prepare for the performance evaluation. The completed worksheet must be returned to the employee's supervisor at least two (2) days prior to the evaluation discussion.

- (f) Supervisors shall rate each of their employees. If a supervisor fails to rate an employee within 30 days of the due date of the employee's annual evaluation, the next higher level supervisor shall develop an annual evaluation for that employee. In this event the employee's annual performance evaluation shall take place within 45 days of the due date of the employee's annual evaluation.
- (g) If neither supervisor develops an annual evaluation for the employee in a timely manner, the third level supervisor is responsible for completing the evaluation. Responsibility for evaluation completion continues on NI the chain of command until the evaluation is completed as required by law.
- (h) If a rating is not given, the overall evaluation is "Meets Expectations" until a final rating is completed and lack of a plan or rating can be disputed.
- (i) Supervisors who fail to complete performance plans and/or evaluations on an annual basis are subject to the penalties provided for in C.R.S. 24-50-104, and may also be subject to additional disciplinary action.

State classified supervisors who fail to complete performance plans and/or evaluations in accordance with the timelines established in this plan are subject to corrective action and are ineligible for any achievement pay. In addition, if the state classified supervisor fails to complete the individual performance plan or evaluation within 30 days of the corrective action, the supervisor shall be disciplinarily suspended in increments of one work week following a pre-disciplinary meeting.

A supervisor, including a supervisory state employee not within the state personnel system, who fails to complete performance plans and/or evaluations in accordance with the timelines established in this plan shall be suspended from work without pay for a period of not less than one workweek.

If any evaluations have still not been completed by July 1, the supervisor may be subject to demotion. If a supervisor has not

timely completed annual performance evaluations for two consecutive years, the supervisor shall be demoted to a nonsupervisory position.

- (j) A higher level supervisor, prior to the final performance evaluation meeting with the employee, must review the immediate supervisor's evaluation of the employee's performance.
- (k) The Director of Human Resources shall establish guidelines governing the performance management and evaluation system. The Director shall monitor for quality and consistency of performance ratings before overall ratings are provided to employees.

II.C. ACHIEVEMENT PAY

In the state-classified system any permanent employee achieving at a rate of Level 2, or Level 3 on the employee's annual evaluation is eligible for achievement pay each year. Achievement pay will be linked directly to the employee's attainment of defined performance objectives.

All achievement pay must be base building. Temporary employees are not eligible for achievement pay .

1. Uniform Statewide Achievement Pay

The Uniform Statewide Achievement Pay is based on an open pay range with a minimum and maximum amount set for each class and occupational group. The minimum and maximum points in the pay range are established through the annual Total Compensation Survey.

Prior to the payment of annual achievement pay , the director shall specify and publish the percentage ranges for performance levels based on the available statewide performance management fund.

2. Base Building and Non-Base Building Achievement Pay

All achievement pay shall be base-building. Base building achievement pay is a permanent part of pay and paid as regular salary.

In the event that the achievement pay causes base pay to exceed grade maximum for an employee rated at a Level 4, the portion of the amount that exceeds grade maximum shall

be paid as a one time lump sum in the July payroll.

3. Level 1: “Needs Improvement” Rating

Definition: Needs Improvement Performance (Level 1):

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

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

Employees at this level may require more supervision and direction. Performance is below expectations, may be weak in skills, may require a great deal of direction, and/or may have trouble understanding and carrying out critical job tasks.

An employee achieving a final annual overall Level 1 rating is ineligible for a achievement pay.

A Level 1 rating denoting needs improvement will result in a performance improvement plan. A signed copy of the performance evaluation and the performance improvement plan must be accompanied by supporting documentation and shall be reviewed by the Director of Human Resources. A reasonable time to improve will be established in the performance improvement plan. If performance is still needs improvement at the time of reevaluation, a corrective action will be given. If performance does not improve after the corrective action is given, a disciplinary action shall be taken.

An employee granted an annual achievement pay 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.

4. Level 2: “Meets Expectations” Rating

Definition: Meets Expectations (Level 2):

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

An employee achieving a final annual overall rating of “Meets Expectations” may receive base-building achievement pay. If base pay is at or above the range maximum, the employee is ineligible for a performance award.

5. Level 3: “Exceeds Expectations” Rating

Definition: Exceeds Expectations (Level 3):

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

An employee achieving a final annual overall rating of “Exceeds Expectations” may receive base-building achievement pay. If base pay is at or above the range maximum, the employee is ineligible for a performance award.

7. Non-monetary Performance awards

Non-monetary performance awards or incentives may be provided for all permanent employees who receive performance ratings at Levels 2, and 3. Non-monetary performance awards may be given separate from or in combination with, monetary achievement pay. Non-monetary performance awards are not calculated in the total achievement pay amounts. The types and amounts of non-monetary performance awards are at the discretion of the appointing authority. By way of example, Administrative

Leave may be considered as a non-monetary award.

8. Payout of achievement pay

The President of Adams State College will determine the achievement pay percentages within the parameters set by the State Director of Personnel. In any event, the achievement pay will be applied uniformly for all similarly situated classified employees.

By July 15th of each fiscal year the Department of Human Resources will notify employees of the amount of their individual achievement pay .

Achievement Pay is effective on July 1 and is based on the final overall rating. The employee must be employed on July 1 to receive payment of an adjustment. The employee's current department as of July 1 is responsible for payment of the adjustment.

II.D. ASPPP DISPUTE RESOLUTION PROCESS

Adams State College provides a review process that is designed to resolve performance management issues as quickly and efficiently as possible. The President of Adams State College delegates final decision-making authority in the internal dispute resolution process to the administrative heads of each college department. In the event that the supervisor or next level supervisor/reviewer is the administrative head or chair of the department, the final decision-maker will be the dean or vice president. The ASPPP dispute resolution process is an open, impartial process that is not a grievance or appeal. The formal dispute resolution process has two stages--internal to Adams State College, and external, to the Department of Personnel. Informal resolution of disputes at the lowest level is encouraged.

A written description of this dispute resolution process, along with the name of the appointing authority, will be provided to each employee prior to the due date of the annual Performance Evaluation.

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 agency's program.

1. Reviewable and Non-Reviewable Complaints:

Only the following matters are reviewable:

- (a) The individual performance plan, including lack of a plan during the planning cycle;
- (b) The individual's final performance evaluation, or lack of final evaluation;
- (c) The application of the Adams State performance management program to the individual employee's plan and/or final evaluation; and

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

The following matters are not reviewable under ASPPP:

- (a) The content of the Adams State Performance Management Program;
- (b) Matters related to the funds appropriated;
- (c) The performance evaluations and achievement pay of other employees; and
- (d) The amount of achievement pay, unless the issue involves the application of the Adams State Performance Management Program.

An employee who has a reviewable dispute or concern relating to ASPPP may use this procedure without fear of reprisals. The dispute resolution process is available to all permanent employees. It is an open, impartial process that is not a grievance or appeal. No party has an absolute right to legal representation, but may have an advisor present at all stages of the dispute resolution process. The role of the advisor is to assist the employee in the process, but the employee is expected to present the employee's issues at each stage.

The employee shall discuss the reviewable complaint or concern with the employee's immediate supervisor and attempt to resolve the problem informally prior to pursuing the formal ASPPP dispute resolution process.

2. Internal Formal Dispute Resolution Stage

(a) Initial Review

(i) In the event the dispute is not suitably resolved at the informal level the employee may reduce the problem to writing by completing the Request for Initial Review section of the *Request for Review of Performance Management Issues* form. The form must be presented to the employee's immediate supervisor, with a copy to the Director of Human Resources, within three (3) working days of the occurrence of the reviewable dispute.

(ii) The form shall be dated and signed by the employee; it shall set forth the facts, including dates, of the dispute and the remedy desired. Only those issues originally presented in writing shall be considered throughout the dispute resolution process.

(iii) The dispute shall not be considered submitted until the immediate supervisor receives the written request for review. At the time it is received, it shall be dated and a copy returned to the employee.

(iv) The immediate supervisor shall schedule a meeting to include the supervisor, the employee, and the next higher level supervisor/reviewer. The meeting must occur within five (5) working days of the submission of the written Request for Initial Review. The purpose of the meeting shall be to review and consider the issues presented.

(v) Within five (5) working days of the meeting the immediate supervisor, in cooperation with the next level supervisor/reviewer, shall respond, in writing, to the employee's dispute.

(vi) In the event the response of the immediate supervisor is unacceptable to the complaining employee, the dispute may be referred to the administrative head of the employee's work unit under the procedures set forth in Level II of this dispute resolution process.

(b) Final Review

(i) If the employee is not satisfied with the response presented at the Initial Review stage, the employee may refer the dispute to the administrative head of the employee's work unit by completing the Request for Final Review by Administrative Head section of the *Request for Review of Performance Management Issues* form. The form must be presented to the administrative head of the employee's work unit, with a copy to the Director of Human Resources, within three (3) working days of receipt of the response to the employee's Request for Initial Review.

(ii) The complaint shall not be considered submitted until the administrative head of the unit receives the completed form. At the time it is received, it shall be dated and a copy returned to the complaining employee. Any dispute that has not been referred within three(3) calendar days after receipt of the response to the Request for Initial Review shall be considered settled on the basis of the written response and shall not be subject to further review by the administrative head.

(iii) The administrative head shall schedule a meeting with the employee and the two supervisors involved in the Initial Review to discuss the issue(s) presented. The meeting shall occur within three (3) working days of receipt of the Request for Final Review.

(iv) Within three (3) working days of the meeting the administrative head of the unit shall complete his or her investigation and shall answer the employee's dispute in writing. In answering the employee's dispute the administrative head is limited to addressing the facts surrounding the issue, and shall not substitute his or her judgment for that of the supervisor. The administrative head may instruct the supervisor to follow the agency Program, reconsider a performance plan or rating, or take other appropriate action. The administrative head cannot render a decision that would alter the Adams State Performance Management Program. The administrative head's response must also advise the employee of the issues that are disputable at the External stage of the Dispute Resolution Process. The notice must include filing deadlines, the address for filing, and should advise that a copy of the original Request for Review of Performance Management Issues form, along with the final decision in

the internal dispute resolution process.

(v) When the employee's immediate supervisor or the next higher level supervisor/reviewer is the department head or department chair, Final Review will occur at the level of the provost or vice-president.

(c) The Role of the Director of Human Resources

At any time during the internal dispute resolution process either the employee or the reviewer may call upon the Director of Human Resources to provide information about the dispute resolution process and/or to extend the time frame of the internal review process. The Director of Human Resources may extend the time frame if it is determined that the extension will serve to resolve the dispute.

In no event will the Director of Human Resources substitute his or her judgment for that of the supervisor or other internal reviewer.

3. External Review

- (a) Within five (5) working days of Adams State's final decision, an employee may file a written request for review with the Attention: Appeals Processing, 1313 Sherman Street, Room 122, Denver, Colorado 80203. Only those original issues involving the application of the agency's performance plan to the individual's performance plan and/or evaluation, or full payment of an award may advance to the external review stage.
- (b) The request for external review shall include a copy of the original issue(s) submitted in writing and the agency's final written decision.
- (c) The Director or designee may select a qualified neutral third party. The neutral third party has thirty (30) days to issue a written decision, which is final and binding.
- (d) Reviewer at this stage shall not substitute their judgment for that of the rater, reviewer, or the department's dispute resolution decision maker at the internal dispute stage.
- (e) In reaching a final decision these individuals have the authority to instruct a rater(s) to:
 - a. Follow the agency's program;
 - b. Correct an error;
 - c. Reconsider an individual performance plan or final overall evaluation, or;
 - d. Suggest other appropriate processes such as mediation.

4. Retaliation

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

II. E. ANNUAL REPORT TO STATE DEPARTMENT OF PERSONNEL

Adams State College, through its annual budget process, will track the following information:

1. The distribution of performance ratings;
2. The total dollars appropriated for achievement pay each fiscal year;
3. The total amount of those appropriated dollars awarded to employees for achievement pay;
4. The total amount of dollars awarded for each performance category; and
5. The number of disputes

This information will be reported to the state Department of Personnel at the end of each fiscal year.