



METROPOLITAN
STATE UNIVERSITY
OF DENVER

Classified Performance Management Program

Revised 4/1/2016

Performance Management Program

The Role and Mission of Metropolitan State University of Denver

Metropolitan State University of Denver, MSU Denver, is a comprehensive, baccalaureate-degree granting, urban university that offers arts and sciences, professional, and business courses and programs to a diverse student population in an atmosphere of mutual respect. Excellence in teaching and learning is MSU Denver's primary objective. To ensure that MSU Denver's Performance Management Program aligns with the mission/vision/values of the University, it is important to first understand what the mission of the University is.

"The mission of MSU Denver is to provide a high-quality, accessible, enriching education that prepares students for successful careers, post-graduate education, and lifelong learning in a multicultural, global, and technological society. To fulfill its mission, MSU Denver's diverse university community engages the community at large in scholarly inquiry, creative activity, and the application of knowledge."

Based on the mission of the University, supervisors and employees are expected to engage in collaborative efforts throughout the performance management process to identify performance objectives and measurement standards expected of each individual employee which links to the mission of the University and individual department.

Purpose of Performance Management

The Performance Management Program for MSU Denver is a business tool that will help employees and supervisors achieve vision, goals, performance management strategic initiatives, and allow employees an opportunity to receive feedback on their performance. This program is used to evaluate classified staff. Administrators and Faculty have a different review process defined in the Professional Handbook. MSU Denver's performance management process is designed to provide a framework for supervisors to communicate job expectations to employees and to let employees review their performance throughout the year. MSU Denver's performance management program encourages open and on-going communication to develop a work environment which focuses on excellence, productivity and continuous improvement. The following Performance Management Program is designed to meet the parameters and guidelines established in Colorado Revised Statutes (C.R.S.) 24-50-104 and 24-50-125 and State Personnel Rules 6-3 – 6-7. This program has received approval from the Department of Personnel, Division of Human Resources Consulting Services on February 26, 2016.

Communication and Training

MSU Denver will send a copy of the plan via intercampus mail as well as post the plan on the HR Website. Comprehensive training will be provided to all supervisors and employees on a yearly basis through the use of workshops. Training for supervisors is mandatory. For new supervisors and employees, training will be included as a component of Supervisor Development training. Training will be divided into supervisory training and employee training. Supervisory training will include the performance review cycle, planning (including setting goals and objectives that are measurable and related to the department and University mission, goals and objectives), performance management, coaching and feedback, performance documentation, evaluation process, and performance pay. Training for employees will include the performance review cycle, goal development, documentation, and performance pay.

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Overview of Performance-Based Management Process

All classified employees are required to be evaluated once a year. The evaluation cycle begins April 1 and ends March 31 of each year. The performance management process requires three formal meetings. Each of the components is accomplished by completing and retaining one form until the final component is completed. The three key components are:

- I. ***Planning:*** Performance planning establishes the foundation for an effective performance management process. A well-crafted performance plan informs the employee of the criteria that will be used to evaluate his/her performance. The supervisor and the employee will jointly develop a performance plan based on a discussion of the core competencies, the employee's major job duties, and work goals for the plan year. Employee performance plans should align with the mission of the university and the department goals. The performance plan must include:
 1. The statewide core competencies:
 - Accountability
 - Job Knowledge
 - Communication/Customer Service/Interpersonal Skills
 2. The employee's major job duties, job knowledge and job priorities for the plan year. All supervisors must have a factor included under major job duties that measures and evaluates the effectiveness of their performance management of their employees.
 3. The employee's goals for the plan year.

Supervisors are ultimately responsible for developing the performance plan. Plans shall be completed within 30 days of the new plan year (April 30) or within 30 days of a new job assignment. A copy of the signature sheet (top sheet) of the Performance Management Form is due in the Human Resources Office by April 30 of each year and serves as the supervisor's verification that a plan was developed.

The original plan must be maintained in the respective work unit office under the care of the immediate supervisor and be used to document mid-year and final evaluation. Supervisors and employees are encouraged to create and maintain an important events journal/file to document significant work achievements and other important incidents that occur throughout the year.

- II. ***Progress Review:*** At least one written progress review, signed by both the supervisor and employee, is statutorily required during the year. Supervisors should provide comments on the employee's performance, consulting the performance plan and relating their comments to the job expectations. By mutual agreement, the supervisor and employee may modify the plan during the year. A copy of the signature sheet (top sheet) of the Performance Management Form is due in the Human Resources Office by October 31 of each year and serves as the supervisor's verification that a progress review was conducted. Even though the state requires a progress review once a year, the success of performance management relies heavily on continuous coaching and feedback.

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- III. **Performance Evaluation:** In order to evaluate the individual’s performance plan, a performance evaluation will be conducted annually for the previous twelve month period beginning April 1 and ending March 31.

The supervisor will complete a qualitative evaluation based on the employee’s performance consistent with the Performance Planning and Evaluation Form. Supervisors are ultimately responsible for completing the performance evaluation. Evaluations are required and must be completed within 30 days of the plan year (April 30).

Employees are encouraged to complete and submit to their supervisors, prior to the meeting, an Employee Self Evaluation Worksheet. This will assist both the employee and the supervisor in preparing for the performance evaluation meeting. Employees are also encouraged to gather all supporting documentation to support their self-rating and attach it to the Employee Self Evaluation Worksheet. This provides the employee an opportunity to have relevant information considered by the supervisor prior to the completion of a preliminary evaluation.

Upon the supervisor’s completion of the evaluation, the appropriate second level supervisor will review the evaluation for quality and consistency before the employee’s final rating is given.

Three ratings are used: Exceptional, Successful, and Needs Improvement.

<i>Exceptional:</i>	<p>This rating represents <u>consistently exceptional</u> 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.</p> <p>*Additional written justification required</p>
<i>Successful:</i>	<p>This rating level encompasses a range of <u>expected performance</u>. It includes employees who are <u>successfully developing</u> 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 <u>employees are meeting all the expectations, standards, requirements, and objectives</u> 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.</p>
<i>Needs Improvement:</i>	<p>This rating level encompasses those employees whose <u>performance does not consistently and independently meet expectations</u> 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</p>

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	<p>rating and need coaching/direction in order to satisfy the core expectations of the position.</p> <p>*If the employee is given an overall "Needs Improvement" rating, a Corrective Action or Performance Improvement Plan shall be completed to include consistent supervisory follow-up to ensure continual progress toward a <i>successful</i> rating.</p>
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Default Ratings

In the event an employee does not receive a final performance rating in a timely manner, a default performance rating of Successful will be made. Default ratings will be used when supervisors do not rate employees based on employee's transfer to another unit or position, supervisor resigns or separates from the University, or the employee is promoted based on different duties. Default ratings will also be used for time periods of long-term absence due to Family Medical Leave (FML) as no work is accomplished during this absence.

Changes in Supervision and or Changes in Position

By rule, when supervisory changes occur mid-evaluation cycle, the outgoing supervisor must provide the employee with an evaluation of their performance for the period of time under their direction. The incoming supervisor is responsible for creating a new plan for the remainder of the evaluation year. The final rating for the employee will be prorated by incorporating both ratings for the time period.

Supervisor Sanctions

If a supervisor fails to prepare a performance plan/evaluation, the reviewer shall be responsible for preparation. Supervisors who fail to plan with or evaluate their employees are subject to action under CRS 24-50-104 (suspension without pay in increments of one workday). Absent extraordinary circumstances, failure to timely plan and evaluate in accordance with the established timelines of this plan could result in progressive discipline. If the individual performance plan or evaluation is not completed within 30 days of the progressive discipline, the rater may be disciplinarily suspended in increments of one workday. A pre-discipline meeting may apply if the supervisor is a classified employee. Statute provides, in addition, that if any evaluations are not completed by July 1, the supervisor may be demoted. If failure to evaluate by July 1 happens for two consecutive years, the supervisor shall be demoted to a non-supervisory position.

Roles in Performance Management

Supervisors Role

The supervisor is required to perform the following in the performance process:

- Define performance expectations and objectives for the employee;
- Complete all three steps of the performance process including planning, mid-year review, and final evaluation;
- Retain the original performance document during the year;

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- Keep a log of significant employee performance events during the year;
- Provide continuous feedback and coaching on employee performance through-out the year.

Reviews Role

The employee's supervisor (the rater) will discuss the proposed evaluation with his or her supervisor (the reviewer). The role of the reviewer is as follows:

- To ensure all plans are completed timely and submitted to Human Resources;
- To ensure consistency in rating standards among the units and employees under his or her direction;
- To ensure quality control by requiring raters apply the standards of performance described in the three performance levels used in the evaluation procedures. This may require that the reviewer assist raters in correctly interpreting and applying the rating level standards;
- To ensure that the evaluation process recognizes differences in the quality and quantity of work performed by employees within a work unit as well as other work related contributions that may be appropriate to recognize in the evaluation process.

Employees Role

The employee is responsible for:

- Their own performance;
- Identifying training needs and areas of improvement;
- Asking for clarification on expectations;
- Achieving results;

Review the Position Description Questionnaire (PDQ)

All active positions in the classified personnel service at MSU Denver have a Position Description Questionnaire (PDQ) on file in the Office of Human Resources. The PDQ describes the duties and responsibilities of the position, establishes the essential functions of the position, and is the primary document for determining job classification and compensation. PDQ's should be reviewed at least once per year during the performance management process. The MSU Denver Performance Management Program relies on each position having a current and accurate PDQ. Thus, before any performance planning can be done, the employee and supervisor should carefully review the PDQ to ensure that it describes the duties and responsibilities of the position.

Annual Performance Awards

Permanent classified employees may be eligible for annual performance awards each year. MSU Denver will fund, to the extent possible, the State Total Compensation Survey as approved by the state legislature and mandated by the state constitution. Prior to the payment of annual performance awards, the State

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Personnel Director shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding.

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

Employees rated as **Exceptional** and below the pay range maximum are eligible for base building up to the range maximum and non-base building above the range maximum. All awards must be base building up to the range maximum. The evaluation criteria must vary each year for **Exceptional** employees.

- For employees rated as **Exceptional**, any portion of the annual performance award amount that exceeds grade maximum shall be paid as a one-time lump sum in the end-of-July payroll.

Employees rated as **Successful** and below the pay range maximum are eligible for base building, annual performance awards. No salary adjustments are to exceed maximum of the pay range.

- Employees rated as **Successful** and at the pay range maximum or in saved pay above the maximum are not eligible for annual performance award.

Employees rated as **Needs Improvement** are not eligible for an annual performance award. For such employees, the supervisor must implement a performance improvement plan or initiate a corrective action in accordance with personnel rules.

Employees will be notified, in writing, of their annual performance award by the end of June. All annual performance awards are effective on July 1 and the employee must be employed on that date in order to receive the award. The employee's current department as of July 1 is responsible for salary adjustments.

Employees hired during the performance cycle will be eligible for a prorated performance salary adjustment based on the amount of months employed in the performance year. Employees hired after April 1 shall only receive the Across-the-Board pay increase.

Performance Management Program Dispute Resolution Process

If there is disagreement concerning a performance plan or performance evaluations, that are not claims of discrimination, an employee may initiate the dispute resolution process. A description of the internal dispute resolution process, including timelines and decision makers, shall be given to employees annually at the time of evaluation, provided by the Office of Human Resources, or can be obtained on the Office of Human Resources website.

Guidelines for employees who wish to dispute a performance plan or evaluation

Informal resolution of disputes at the lowest level is highly encouraged. The burden of proof in the dispute resolution process falls upon the employee. Issues that are not related to the performance plan or evaluation are not a part of this dispute resolution process.

Issues that Employees May Dispute

- The individual performance plan, including the lack of a plan during the planning cycle;

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- The individual final overall performance evaluation; not individual factor ratings or the lack of a final rating;
- Application of the university's Performance Management Program, policies, or processes.

The following matters may not be disputed

- The interim rating or mid-year progress review;
- The content of the MSU Denver performance pay program;
- Matters related to the funds appropriated;
- The performance evaluations and annual performance awards of other employees.

Dispute Resolution Process

The dispute resolution process must be open and impartial and must allow the parties an opportunity to have issues reviewed objectively. Decision makers are limited to addressing facts surrounding the current performance plan or evaluation and shall not substitute their judgment for that of the rater, but may instruct raters to follow the agency plan, correct errors, reconsider a performance rating or plan, or other appropriate action such as mediation. Decision makers cannot render decisions that would alter the university's Performance Pay Program. Retaliation against any person involved in the dispute resolution process is prohibited.

Internal Informal Dispute Resolution Process

Internal Informal Process

The employee and supervisor should schedule an informal meeting to resolve the issue(s) within three (3) working days after the performance plan or evaluation is presented. The employee should bring any supporting documentation that may aid the supervisor's decision. If the employee and supervisor are unable to reach an agreement during this meeting, or if they are unable to meet, the employee may proceed to the internal formal process.

Internal Formal Dispute Resolution Process

Request for Initial Review

- In the event the dispute is not resolved at the internal informal level, the employee may request, in writing, an initial review to his/her second-level supervisor within five (5) working days of the occurrence of the dispute, with a copy forwarded to the Director of Human Resources;
- The written request for review must be dated and signed by the employee. It shall present the facts, including dates, of the dispute and the desired remedy;
- The immediate supervisor shall acknowledge receipt of the request for initial review in writing;
- The second level supervisor will meet with the employee, but must render a decision in writing and deliver to the employee within five (5) working days after meeting with the employee.
- If the employee does not agree with the decision of the second-level supervisor, the employee may submit the same written request as originally presented to the second-level supervisor to the third-

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level supervisor using the process and timelines listed above. The employee may not add any additional items to be considered at the third stage of the dispute resolution process.

- The third-level supervisor's decision must be made in writing within five (5) working days of the date the written request was received and must include a written copy of the Formal External Dispute Resolution Process. The decision of the third-level supervisor is final. Employee will have no further recourse for resolution upon rendering of the final determination. The employee must be given written notice of the External Dispute Resolution Process upon completion of the Internal Dispute Resolution Process.

Formal External Dispute Resolution Process

An employee may request a review by the State Personnel Director upon completion of the university's Internal Formal Resolution Process by submitting a written request to the State Personnel Director within five working days of the University's final decision. Only matters relating to the application of the University's Performance Management Program, policies, or processes may be submitted for review.

Requests for review must be submitted to the:

State Personnel Director
Attn: Appeals Processing
1313 Sherman Street, Room 122
Denver, CO 80203

Requests must include a copy of all requests for review at all levels of the Internal Formal Dispute Resolution Process as well copies of the decisions rendered by the second and third-level supervisors. The State Personnel Director may select a qualified neutral third party to review the matter to reach a final decision. The selected third party representatives have the authority to instruct a rater(s) to:

- Follow the agency's program;
- Correct an error;
- Reconsider an individual performance plan or final overall evaluation.

These individuals may also suggest other appropriate processes such as mediation. The State Personnel Director shall issue a written decision that is final and binding within thirty (30) days.

Forms List and Web Location

Location

All forms for documentation, procedures and documents related to classified employee performance can be found at the following web address:

<http://www.msudenver.edu/hr/forms/>

Forms

- Classified Performance Management Program
- Classified Performance Management Form

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- Employee Self Evaluation Form
- Classified Dispute Resolution Form