

<b>Employee Name</b>	<b>Social Security Number</b>	<b>Position Number</b>
<b>Employee Job Title</b>	<b>Evaluation Period</b> From: _____ To: _____	
<b>College Name</b>	<b>Department</b>	
<b>Supervisor Name</b>	<b>Reason for Evaluation</b> ____ Annual ____ Other (Please Specify) _____	

The performance planning and evaluation system for CCCOES classified employees is a communication tool for the employee and supervisor. It is designed to promote better understanding between supervisors and employees about job responsibilities and performance expectations. It is also designed to reward excellence in job performance and directly link job performance to pay.

### **EVALUATION PROCESS**

#### **Planning Phase**

At the beginning of the evaluation period, the supervisor and employee meet to discuss the core work competencies, major job responsibilities, and establish goals and the importance of each to the overall evaluation. For new employees, the Performance Plan must be completed within 30 days of date of hire. All employees shall be evaluated using the five core work competencies listed on page 2: Interpersonal Skills, Communication, Accountability, Customer Service, and Job Knowledge; additional factors may be added. Supervisors and employees shall list up to 5 major job duties and shall also list at least 1 individual, department and/or college goal(s) on which the employee shall be evaluated. Lastly, the supervisor shall complete the "Supervisor Planning Comments" section on page 5, obtain proper signatures, and provide a copy for the employee. If the employee disagrees with the Performance Plan, he/she shall explain the disagreement in the "Employee Comments" section on page 5. The Significant Events Record form is available for both supervisors and employees to list events throughout the year. The Personnel Office is available if the supervisor and/or employee need assistance at any time in the evaluation process.

#### **Progress Review Phase**

At midyear or as often as deemed necessary, the supervisor and employee shall meet to discuss the employee's performance and to decide if the performance plan needs to be revised. The supervisor shall provide feedback to the employee on the accomplishment of established job responsibilities and goals. The supervisor shall also complete the "Progress Review" section on page 5, obtain proper signatures, and provide a copy for the employee.

#### **Year-End Evaluation**

At the end of the evaluation period the supervisor and employee meet to discuss overall performance ratings. The supervisor and next level supervisor shall sign the performance evaluation form prior to reviewing with the employee. The supervisor shall also complete the "Supervisor Overall Justification for the Rating" section on page 5, obtain proper signatures, and provide a copy for the employee. If any of the core work competencies, job duties, or goals are rated "Level 1" or "Level 3" the supervisor shall explain the reason for the rating in the comments section for that individual factor. If the employee is given an overall "Level 1" rating, a Performance Improvement Plan shall be completed. If the employee disagrees with the year-end evaluation rating, he/she shall explain the disagreement in the "Employee Comments" section on page 5. Please see the attached Performance Dispute Resolution Process for those issues which are disputable. The Vice President of Business Services is RRCC's appointing authority and is responsible for rendering a final decision on internal pay for performance disputes. Supervisors shall evaluate each core work competency, job duty, and goal using the following rating levels:

- 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.
- 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.
- 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.

## CORE WORK COMPETENCIES

During the Planning Phase, review Core Work Competencies. Evaluate employee performance on each of the competencies listed below as part of the final evaluation. Comments are required for “Level 1” or “Level 3” ratings. Attach additional pages if needed.

**INTERPERSONAL SKILLS** – Employee interacts effectively with others to establish and maintain smooth working relations.

**Level 2:** Takes initiative to address concerns with other staff in a timely manner promoting understanding and cooperation. Contributes to and maintains a positive work environment through interactions with others.

**Level 3:** Builds trust and works with integrity. Accepts criticism, is open to new ideas, and handles conflict constructively and diplomatically. Promotes cooperation and teamwork. Takes initiative to improve working relationships and foster feelings of mutual respect with co-workers and customers.

Level 1

Level 2

Level 3

**COMMUNICATION** – Employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and customers so as to anticipate problems and ensure the effectiveness of the department.

**Level 2:** Continually initiates channels of communication and fosters respect for others. Practices tact and diplomacy to defuse potentially confrontational situations. Ensures understanding of information exchange. Communication is appropriate to the audience, to the point and clearly addresses issues being discussed.

**Level 3:** Volunteers to assist others and responds promptly to inquiries. Pro-actively involves appropriate individuals in situations and shares knowledge that will assist others. Seeks to resolve conflicts with positive outcomes.

Level 1

Level 2

Level 3

**ACCOUNTABILITY** – Employee’s work behaviors demonstrate responsible personal and professional conduct, which contribute to the overall goals and objectives of the department.

**Level 2:** Adapts well to new situations, unusual demands, emergencies, or critical incidents. Considers department peak times when requesting leave and ensures responsibilities are covered during absences.

**Level 3:** Willingly takes on extra projects/duties while completing regular responsibilities. Seeks new and/or additional on-the-job training opportunities to obtain mastery over tasks, expand personal knowledge and add value to the work group.

Level 1

Level 2

Level 3

**CUSTOMER SERVICE** – Employee works effectively with internal/external customers to satisfy service/product expectations.

**Level 2:** Actively solicits information to anticipate customer needs and provides tactful service to all customers. Utilizes effective questioning to ensure clear understanding of requests. Ensures customer understanding of information given.

**Level 3:** Consistently provides comprehensive information to questions and explores alternative solutions when appropriate. Promptly follows-up on customer needs and ensures situations are resolved. Invites customer to return or call back if further assistance is needed.

Level 1

Level 2

Level 3

**JOB KNOWLEDGE** – Employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.

**Level 2:** Continuously seeks out new opportunities for learning to increase knowledge of relevant job skills and to develop oneself professionally. Applies new skills to the job in an effective way.

**Level 3:** Shares knowledge and job skills by mentoring and training other staff members. Perceived as a subject matter expert.

Level 1

Level 2

Level 3

## MAJOR JOB DUTIES

During the planning phase, identify major job duties. Responsibilities should relate to those duties listed on the current Position Description Questionnaire. These job duties may stay the same from year to year. Develop performance expectations for each job responsibility. Performance standards should be specific, attainable and measurable on the basis of quality, quantity, time frame, cost, etc. Comments are required for "Level 1" or "Level 3" ratings. Attach additional pages if needed.

<b>Major Job Duty:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Major Job Duty:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Major Job Duty:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Major Job Duty:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Major Job Duty:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

## PERFORMANCE AND TRAINING GOALS

During the Planning Phase, establish employee goal(s) to be accomplished for the performance period. These may be project goals, performance improvement goals and/or training and development goals that relate to Department and College goals. These goals may be related to normal competencies and responsibilities. Goals can be reflective of or in addition to professional development as well as employees PDQ. Develop performance expectations for each goal on the basis of quality, quantity, time-frame, cost etc. and at year-end evaluation, rate employee performance. Comments are required for "Level 1" or "Level 3" ratings. Attach additional pages if needed.

<b>Goal:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Goal:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Goal:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Goal:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

<b>Goal:</b>		
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 3

**Supervisor Planning Comments (Mandatory):**

Employee Comments (Optional):

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

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Date

**Supervisor Progress Review Comments (Mandatory):**

Employee Comments (Optional):

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

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Date

**Overall Evaluation – Please check (✓) one box.**

Level 1

Level 2

Level 3

**Supervisory Overall Evaluation Justification for the Rating (Mandatory). Please include employee strengths and areas for improvement:**

I  agree  disagree with the overall performance evaluation/rating and have received a copy.  
(circle one)

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

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Second Level Supervisory Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Personnel Signature

\_\_\_\_\_  
Date

**Comments from Employee (Optional):**

# Colorado Community College System

## Pay for Performance Dispute Resolution Process

Revised January 1, 2005

### Guidelines

1. Employees are provided the opportunity to have disputes regarding pay for performance resolved in a timely manner through an objective and impartial review process designed to preserve the working relationship.
2. The process is expedient and should conclude within 30 business days. However, by mutual agreement of the involved parties, the timeline can be extended.
3. Issues that are disputable include:
  - The individual performance plan, including lack of a plan during the planning cycle; (must be disputed within three (3) business days of the conclusion of the planning meeting);
  - The individual final overall performance evaluation, including lack of a final overall evaluation;
  - The application of a college's performance management program to the individual employee's plan and/or final overall evaluation; and,
4. Issues that are NOT disputable:
  - Performance evaluations and performance salary adjustments of other employees;
  - The content of the college's performance management program; and,
  - Matters related to the funds appropriated.
5. Only issues originally presented in writing shall be considered throughout the review process.
6. The dispute resolution process is not a grievance or appeal. 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.
7. Retaliation against any person in the dispute resolution process is prohibited.
8. This Dispute Resolution process will be annually distributed to classified employees at the beginning of each plan year. This distribution includes the name and position of the college's appointing authority.

## **Informal - Discussion**

- Every effort shall be made by the parties to resolve the issue at the lowest possible level in a timely manner. Informal resolution before initiating the dispute resolution process is strongly encouraged.
- The employee is required to discuss the dispute with the supervisor within three (3) business days of a disputable action.
- If, following the initial meeting with the supervisor, the employee believes the dispute has not been resolved; the employee must contact the Human Resource Office to obtain a Dispute Resolution form. The employee must complete the form stating the reason for the dispute and submit it to the Human Resource Office within five (5) business days of the meeting with the supervisor. Personnel determine if the issue is disputable. (See #3 and #4 above) If the issue is not disputable, Personnel notifies the employee within three (3) business days of receipt of the written dispute resolution form.
- If the issue is disputable, Personnel provides a copy of the Dispute Resolution Form to both the immediate supervisor and the second-level supervisor.
- Within five (5) business days of the receipt of the Dispute Resolution Form, Personnel, or other resource available to the College/System (State Mediation Services, Internal or Other Qualified Personnel), facilitates a mediation meeting with the Employee, Supervisor and Second-Level Supervisor. The mediator attempts to assist the parties in reaching a mutually satisfactory resolution to the issues in dispute.
- If a resolution is not reached, the employee has the option to request a review through the formal process.

## **Formal - Panel Review**

- The employee must submit, in writing, a request for the panel review within five (5) business days of the final conclusion of the informal process.
- The Human Resource Office convenes a panel within five (5) business days of the receipt of a request for a panel review. A panel of three (3) peers, to include two (2) Classified employees and one (1) Exempt employee, reviews the documentation and forwards a written recommendation to the Appointing Authority within five (5) business days of the conclusion of the panel review.
- Each College/System has a method for choosing and convening the peer panel.
- The scope of authority of those individuals making final decisions throughout the pay for performance dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the College's performance management program. These individuals shall not substitute their judgment for that of the rater(s). Further, these individuals shall not render a decision that would alter the college's performance management program.
- The Appointing Authority or his/her designee shall consider the recommendation of the panel and render a final, written decision within five (5) business days.
- The Appointing Authority or his/her designee has the authority to instruct a rater(s) to:
  - Follow the College's performance management program;
  - Correct an error;
  - Reconsider an individual performance evaluation or plan, or;
  - Suggest other appropriate processes.

## **External Review**

- After the conclusion of the internal review process, employees will be given written notice that they may submit a written request for review to:

Colorado State Personnel Board  
Attention: Appeals Processing  
633 17<sup>th</sup> Street, Suite 1320  
Denver, CO 80202

This only applies to those disputes concerning application of the college's program as it relates to the individual employee's performance plan or final evaluation or full payment of the performance salary adjustment.

- The request for review must be made within five (5) working days of the employee's receipt of the college's final decision and must include a copy of the original written dispute and the college's final decision. A copy of the request for external review must be presented to the person who makes the college's final decision.
- The State Personnel Director may select a qualified neutral third party to review the matter.
- The State Personnel Director shall issue a written decision that is final and binding within 30 days.
- For an issue being reviewed at the external stage, these individuals shall not substitute their judgment for that of the rater, reviewer or the College's dispute resolution decision maker at the internal dispute stage.
- In reaching a final decision, these individuals have the authority to instruct a rater (s) to:
  - Follow the College's performance management program;
  - Correct an error; and/or
  - Reconsider an individual performance evaluation or plan.
- These individuals may also suggest other appropriate processes such as mediation.

For Human Resource Use Only

Date Request Submitted to Human Resource Office: \_\_\_\_\_

Received By: \_\_\_\_\_

Colorado Community College System  
Classified Employee Dispute Resolution Form  
(Effective 7-1-01)

This form must be completed and returned to the Human Resource Office within five (5) days of the initial meeting with the Supervisor concerning the issue in dispute.

Name: \_\_\_\_\_ SSN: \_\_\_\_\_

Department: \_\_\_\_\_ Supervisor: \_\_\_\_\_

Work Phone #: \_\_\_\_\_ Work Address: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Fax #: \_\_\_\_\_

**REASON FOR REQUEST:** (Please check the issue which is in dispute.)

- Individual Performance Plan or Lack Thereof  
✓ Attach a copy of the performance plan (if available) and a brief statement of the facts.
- Individual Final Performance Evaluation or Lack Thereof  
✓ Attach a copy of the performance plan, the rating, and a brief statement of the issues and supporting facts.
- Non-Compliance With the College's Plan  
✓ Attach a copy of the performance plan and/or rating and a brief statement of the plan, policy or process that was misapplied. Include any supporting facts.
- Partial or Non-Payment of an Award  
✓ Attach a copy of the notice of award, record of payments, and a brief statement of explanation and supporting facts.

What is your desired outcome? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

\_\_\_\_\_  
Date