



**COLORADO SCHOOL OF
MINES**

Performance Management Program (Classified Employees)



**COLORADO SCHOOL OF
MINES**

Contents

Introduction	3
Performance Management Definitions	3
Core Competencies	4
Performance Ratings	5
Performance Management Overview	6
Training and Communication.....	8
Merit Pay.....	8
Dispute Resolution	9
Internal Disputes	9
External Disputes.....	10



Introduction

The Mines Performance Management Program was developed in accordance with State Personnel Rules and Procedures and is intended to facilitate effective administration of employee performance. The primary purpose of this document is to set forth the framework for performance management and to ensure uniformity and consistency across Mines. The program is flexible so it can be revised as necessary to remain consistent with all requirements of the State's performance management rules and procedures and for continual process improvement.

Performance management is an ongoing process of communication between a supervisor and an employee that occurs throughout the year in support of accomplishing the strategic objectives of the organization. The communication process includes clarifying expectations, setting objectives, identifying goals, providing feedback, and reviewing results. The performance management process is a cycle with discussions varying year to year based on the changing objectives. The Mines Performance Management Program addresses performance planning and evaluation; training and communication; performance-related pay (merit); and dispute resolution. The intent of this program is to create a partnership between supervisors and employees in defining expectations, planning objectives, and measuring performance results that align with Mines Policies and Procedures.

Performance Management Definitions

Position Description: The official document summarizing the primary duties and responsibilities assigned to a position.

Performance Cycle: A period of time that included planning, monitoring and evaluating an employee's performance. Mines annual performance cycle for classified employees is August 1 through July 31.

Performance Plan: The annual performance plan explains the developed expectations and goals for a particular employee. And directs the employee's efforts toward achieving specific results in support of organizational excellence and employee success.

Planning Meeting: A collaborative meeting held at the beginning of the performance cycle between a supervisor and employee focused on outlining expectations and setting realistic/attainable goals and measurements for the upcoming performance cycle.

90-day Conversation: A conversation that will occur between an employee and their direct supervisor to review their job performance after completion of 90 days of the employee's probationary period.

Progress Review: The performance cycle includes at least one documented progress review to be completed throughout the performance cycle. During a regular performance cycle, the Progress/Mid-year Review will take place by February each year.

Performance Evaluation: Annual Review (Year-End Evaluation): A written evaluation at the end of each performance cycle that measures how the employee met their expectations and goals outlined in their performance plan. The statewide, uniform core competencies cannot be disregarded in the final overall rating for each employee.



Core Competencies

A core competency is a certain activity or characteristic contained in an employee's performance plan. Statewide Core Competencies are included in performance plans and are rated based on the employee's overall success incorporating these competencies into the performance of their position. Core competencies include:

- **Job Knowledge:** Technically and professionally skilled in all position responsibilities and duties. Seeks new skills and opportunities for self-development. Mines employees should demonstrate the skills, job-specific knowledge, and abilities necessary to provide the appropriate quantity and quality of work in a timely and efficient manner. Employees should strive to expand their areas of expertise and participate in training and mentoring others.
- **Accountability:** Demonstrates a high level of dependability in all aspects of the job. Owns up to own words and actions. Can be relied on consistently. Mines employees exhibit accountability by displaying a strong work ethic, seeking clarification when direction isn't clear, and taking initiative. Employees should demonstrate responsible personal and professional conduct as well as a willingness to invest time, energy, and ideas that contribute to the overall goals and objectives of the department and Mines.
- **Collaboration/Teamwork** (Mines required competency): Collaboration/Teamwork are critical to the overall success of Mines. Mines employees promote cooperation and commitment within a team to achieve goals and deliverables. They encourage team unity through sharing information or expertise, working together to solve problems, and putting team success first. They ensure joint ownership of goal setting, commitments, and celebrating team accomplishments.
- **Communication:** Communication skills are very important and must be honed, particularly in a job in which employees deal with customers (internally or externally). Clear communication requires straightforward language that is neither too flowery nor too simple. It is essential to be able to use the spoken and/or written word to get your point across simply. Mines employees need to effectively communicate both verbally and in writing in a manner that uses active listening skills, clearly identifies needs, and provides accurate, timely, and pertinent information. Employees should use a wide range of communication channels available to them to communicate messages most effectively to teammates, supervisors, customers, and others who rely on their expertise.
- **Customer Service:** Commits to satisfying internal and external customers. Mines relies on employees to provide high-quality, efficient, and cost-effective service to teammates, customers, and visitors. Employees need to maintain a professional demeanor, be responsive, and engage with stakeholders as necessary to ensure they are able to meet the needs of customers while complying with statutory and regulatory requirements.
- **Interpersonal Skills:** Interpersonal skills refer to the ability to interact positively and get along well with others. It is defined as a set of positive social skills necessary to get along well with others and function constructively in groups, including respecting and expressing appreciation for others; being able to work and communicate well with others and listen to others' ideas; demonstrating context-appropriate behavior that is consistent with social norms; using a range of skills or processes aimed at resolving conflict.



In addition to the above core competencies required for all employees, all supervisors' plans must include the following competency:

- **People Management:** Effectiveness in managing the performance of direct reports, including but not limited to, developing plans; conducting reviews and performance evaluations; ongoing coaching and feedback; and resolving disputes.

Performance Ratings

Mines uses a qualitative performance evaluation system and supervisors apply the following rating criteria when evaluating performance. There is no quota for the number of employees allowed to receive any of the performance ratings. Final overall ratings will fall into one of the below categories.

- **Exceptional (5):** This is the highest overall rating. Employees at this level consistently make extraordinary contributions through superior performance on key goals, serve as a role model of organizational values, and contribute significantly to Mines. Peers, immediate supervisors, higher-level management, and others recognize and depend upon the employee's level of performance. An extraordinary level of achievement and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity, and initiative are exhibited at this level. The employee demonstrates exceptional job mastery in all major areas of responsibility and their contributions to the organization are of marked excellence.
- **Highly Effective (4):** Employees at this level demonstrate highly effective performance by making significant contributions and impact on the goals of the department. The employee consistently models organizational values to others and performance at this level exceeds the expectations of their position. Colleagues rely on these employees for advice on process or subject matter expertise. All goals, objectives, and targets are consistently achieved above the established standards.
- **Effective (3):** Employees at this level reliably and consistently meet all the expectations, standards, requirements, and objectives of the employee's position. They demonstrate organizational values, along with a willingness and ability to grow for the benefit of the department. At this level, performance meets expectations in terms of quality of work, efficiency, and timeliness with the most critical goals being met.
- **Needs Improvement (2):** At this level, employee performance and/or behavior do not consistently meet minimum expectations of what is expected of the employee's position. While the employee shows capability and willingness to progress, they may require development in a key skill area(s) to be fully effective in the role. Employee's failure to exhibit marked improvement may result in performance management.
- **Unacceptable (1):** The lowest overall rating. This rating is given to an employee who **exhibits a pattern of failing** to meet the expectations of the job. At this level, employee performance and/or behavior do not meet minimum job expectations of the position. The employee does not meet key goals and/or does not demonstrate competence in critical job skills. Immediate and sustained performance improvement is needed. Employee's failure to exhibit immediate marked improvement will result in corrective and/or disciplinary action.



Rater: Usually the direct supervisor, the rater plays a key role in guiding, directing, and supporting the work of employees through setting goals and objectives as well as ongoing communication, coaching, feedback, and recognition.

Reviewer: Usually the second-level supervisor or appointed designee, the reviewer plays a key role in the success of the performance management program by helping ensure consistency of ratings throughout their departments.

Performance Management Overview

Employees are ultimately responsible for achieving the goals and measurements set forth in their performance plan and are encouraged to seek guidance from supervisors as necessary. While this process is meant to be collaborative, the supervisor is ultimately responsible for work assignments and maintaining the overall effectiveness of the work unit. As such, the supervisor shall have the responsibility to make final decisions regarding what expectations, goals and objectives are contained within the performance plan. Continuous coaching and feedback between the supervisor and employee are imperative for sound performance management. This process should continue throughout the performance cycle and should be adequate to keep the employee timely and fully informed of progress in meeting performance expectations. The employee has a responsibility to be proactive and keep the supervisor informed of concerns or perceived challenges and barriers to meeting the agreed upon performance expectations.

Supervisors are evaluated on their performance management and evaluation of employees. Failure to plan and evaluate in accordance with the established timeframes may result in ineligibility for merit pay, and/or subject them to corrective or disciplinary action. If the individual performance plan or evaluation is not completed within 30 days of the corrective/disciplinary action, the designated rater shall be disciplinarily suspended in increments of 1 workday following the pre-disciplinary meeting.

Performance Planning is a collaborative process between the supervisor and employee that develops individual performance plans. This is a critical component of performance management as it establishes the foundation for what an employee can expect to be measured against during the performance cycle. Along with the required statewide core competencies, the performance plan should establish individual goals and objectives in alignment with the employee's position as well as the overall strategy and business objectives of Mines. While the Position Description for each position outlines major responsibilities, the Performance Plan provides clarity to the employee on individual goals and objectives that should be achieved throughout a specific performance cycle. The plan also provides a foundation for coaching and development activities. Performance is measured by how successfully an employee meets specific goals and objectives for a specific performance cycle.

To maintain the collaborative approach to plan creation, at least one planning meeting should be conducted with the employee and supervisor in order to set goals, objectives and communicate priorities. Finalized plans need to be signed by both supervisor and employee and kept in the employee file no later than 30 days after the start of the new performance cycle, or within 30 days of hire or transfer. If an employee does not have a completed performance plan for the current performance cycle the plan from the previous cycle remains in effect until a new plan is completed.



Supervisors are required to prepare the performance plan within the established timeframes. If the supervisor fails to prepare a performance plan, the reviewer or appointed designee is responsible for completing the plan. Extraordinary circumstances which limit the ability for plan creation by the deadline need to be reviewed by the Appointing Authority or appointed designee as soon as they become known to the supervisor. The Appointing Authority and supervisor working in partnership with Human Resources (HR) will determine the best course of action, ensuring completion of the planning meeting and establishment of the plan as timely as possible given the circumstances, usually not exceeding 10 business days after resolution of these circumstances. Modifications to performance plans may be necessary during the performance cycle. These need to be documented and signed by both supervisor and employee.

Progress Review also known as mid-year evaluation or interim review, provides a formal opportunity for a supervisor and employee to discuss the employee's overall performance to date and are key to managing performance on an ongoing basis. At a minimum, one documented progress review should be conducted between the employee and supervisor mid-cycle.

Final Evaluations: The final evaluation is a summary of an employee's performance, accomplishments and behavior during the performance cycle taking into consideration multiple sources of information including, but not limited to, an employee's self-assessment, supervisory observation, surveys, and customer feedback. Supervisors may collaborate with employees to complete a self-evaluation, allowing for the employee to provide feedback and input into their accomplishments over the prior performance cycle. The statewide, uniform core competencies cannot be disregarded in the final overall rating for each employee. Final evaluations are delivered at least annually in writing at the end of the performance cycle for all classified employees hired on or before May 1st.*

If the supervisor does not complete a final evaluation, the default rating of **Effective** will be assigned to the employee. Mines uses a qualitative performance evaluation system and applies ratings outlined in the Performance Management Definitions section. The final overall rating is also a determining factor in a merit pay increase (when funded).

An overall rating of Needs Improvement or Unacceptable will result in corrective action and/or a performance improvement plan and a reasonable amount of time to improve, unless the employee is under corrective or disciplinary action for the same performance matter. If needs improvement or unacceptable performance relates to a recurring performance issue that has resulted in a prior corrective action or disciplinary action, the appointing authority may take disciplinary action concurrently with issuing the annual evaluation. The appointing authority may proceed immediately to disciplinary action, up to and including immediate termination, if the act is so flagrant or serious that immediate discipline is proper.

Final evaluations are due at the end of the performance cycle (on or before July 31st), or within 30 days of the last day of employment. In the event an employee transfers to another classified position under a different Colorado State Appointing Authority, both within or outside of Mines, an interim overall evaluation must be completed and delivered within 30 days of the effective date. This is not required for employees who retire from employment in the State Personnel System.



Supervisors are required to conduct performance evaluations within the established timeframes. If the supervisor fails to do so, the reviewer or next level supervisor is responsible for completing the evaluation. If any evaluations have still not been completed in accordance with **§24-50-104**, 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 non-supervisory position. Extraordinary circumstances which limit the ability to meet this deadline need to be reviewed by the Appointing Authority or appointed designee as soon as they become known to the supervisor. The Appointing Authority and supervisor in partnership with HR will determine the best course of action, ensuring completion and delivery of the final evaluation as timely as possible given the circumstances, usually not exceeding 10 business days after resolution to these circumstances. This is intended only for extraordinary circumstances such as an unexpected leave of absence and is not intended for use during times of high-volume business operations and workloads. Exception to the deadline for the final evaluation must be submitted in writing by the Appointing Authority and approved by HR prior to the deadline.

Prior to delivering final evaluations to employees, a designated reviewer will conduct a review and sign the completed evaluations.

Training and Communication

Training and communication is vital to the success of the performance management program. Mines is committed to keeping all employees informed of the Performance Management Program and related information and activities. In order to disseminate current and correct information as timely as possible, variety of communication methods may be used including, but not limited to, internet, intranet, email, management meetings, formal trainings and printed reference materials. Appointing Authorities, designated raters and reviewers are responsible for communicating the department's performance program, performance expectations and standards, and performance plan. Appointing Authorities will continue to emphasize excellent performance throughout their departments.

An important component of training is focused on building consistency and delivering quality in the performance management component of the program. Mines supervisors are required to attend training on the performance management program prior to completing any performance management activities. As there are system and/or plan changes, Mines will continue to evaluate needs and conduct training as necessary. HR will continue to be available to respond to questions and meet the needs of employees as it relates to the performance management program. Resources are available on the HR Performance Management website (<https://www.mines.edu/human-resources/performance-management/>) to provide support and training to leaders as needed in relation to all aspects of the performance management program including, but not limited to, performance planning; writing effective plans and evaluations; interpersonal skills, preparation and coaching for conducting employee meetings.

Merit Pay

When funded, information regarding the funds allocated and the plan for distribution of the funds will be communicated to employees in a timely manner prior to the effective date of any increase. Merit pay adjustments will be allocated consistent with State Personnel Rules and Procedures, Mines Policies and Procedures, and any other issued special directives.



Dispute Resolution

Designed in accordance with the State Personnel Rules, the performance management dispute resolution process is an open, impartial process that is not a grievance or appeal. It is intended to resolve performance related disputes in an open and impartial manner, while preserving working relationships. 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. Only the issue(s) as originally presented in writing shall be considered throughout the dispute resolution process.

Only the following matters are disputable:

- Individual final overall performance evaluation, including lack of a final evaluation.
- Application of Mines performance management program to the individual employee's final overall rating.

The following matters are not disputable:

- Content of Mines performance management program.
- Matters related to the funds appropriated.
- Performance evaluations and merit pay of other employees.

In lieu of an internal dispute, employees can submit comments to their supervisor within 5 days of receiving their performance evaluation to be kept with their performance evaluation.

Internal Disputes

To initiate the dispute resolution process, an employee must submit a written notification to their supervisor/rater and HR of their dispute within 5 days after receipt of the overall final performance evaluation or after the performance evaluation deadline. The submitted dispute must provide the specific reasons for such dispute and the desired outcome. If the employee fails to completely or timely notify in accordance with this process, the dispute shall be considered incomplete or untimely, and the dispute will be closed.

Timely and complete dispute notification will be followed by informal discussions to attempt to resolve the dispute. The supervisor/rater will make efforts to resolve the dispute within 5 days after the discussion, providing a written response to the employee with a copy provided to HR at HR@mines.edu.

Should the matter not be resolved, the employee may submit a completed Performance Dispute Resolution Form and to their Appointing Authority with copies provided to their supervisor/rater and HR within 5 days of receipt of their rater's decision or their rater's failure to provide a written response by the prescribed deadline. The Appointing Authority is the decision-maker for any disputes. In the event the Appointing Authority is the direct supervisor, the completed form will be provided to the appointed designee who will serve as the decision-maker in that dispute. Meetings and additional inquiries may be conducted at the Appointing Authority's or appointed designee discretion. The Appointing Authority or appointed designee will coordinate with HR and provide a written decision within 10 business days to the employee and HR. In rendering the final decision, the Appointing Authority or appointed designee is limited to reviewing the



facts surrounding the current action within the limits of Mines Performance Management Program. The decision at this stage is final and no further internal recourse is available.

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.

In reaching a final decision, these individuals have the authority to instruct a rater to:

- Follow the Mines Performance Management Program.
- Correct an error.
- Reconsider a final overall evaluation.

Retaliation against any person involved in the dispute resolution process is prohibited. Allegations of retaliation for disclosure of information (whistle blowing) and discrimination must be filed with the State Personnel Board, pursuant to Personnel Board Rules.

External Disputes

Only disputes concerning the application of the Mines' Performance Management Program may go to the State Personnel Director after completion of the Internal Dispute Process. This external stage is administered by the Director. Only the issue(s) as originally presented in writing to the department during the department's internal process shall be considered during the Director's external performance management dispute resolution process. The Director's authority regarding final decisions on performance management disputes is limited to reviewing the facts surrounding the current action, within the limits of the department's performance management program.

The Director's External Dispute Notice. For issues disputable at the external stage, the department shall give written notice to the employee. This notice shall include a statement that the deadline for filing an external performance management dispute to the Director is five (5) days from the date of receipt of the notice, the Board's physical address, email address, website, telephone and facsimile numbers, the requirement that the external performance dispute shall be in writing, and the requirement to include copies of the individual's annual performance evaluation, original written dispute and the department's final decision and the availability of the [Consolidated Appeal/Dispute Form](#).

If the employee desires further review by the State Personnel Director, the employee must submit a written with the State Personnel Director, 1525 Sherman Street, Denver, CO 80203, within 5 days of receipt of the Appointing Authority's or appointed designee's the final decision. The first day of the count is the day after the date on the department's notification and each calendar day thereafter.



**COLORADO SCHOOL OF
MINES**

An employee may withdraw a Director's External Dispute at any time prior to the Director issuing a final decision. If an employee withdraws a Director's External Dispute, it will be considered moot and dismissed with prejudice. In the event that an employee with a pending Director's External Dispute separates from the state personnel system, the Director's External Dispute is dismissed with prejudice.

Performance evaluations that result in a corrective action are subject to and need to be addressed through the classified grievance process.