POLICY:

POLICY STATEMENT

The Performance Evaluation System for Classified employees is a tool used to measure individual performance and is intended to develop employees into high performing individuals through a behavior and work performance plan. The Performance Evaluation System adheres to Chapter 10 of the Civil Service Rules located at www.civilservice.la.gov

APPLICABILITY

All Classified employees who are actively employed on June 30th of each fiscal year.

TIMELINE

All supervisors must conduct planning and evaluation sessions each fiscal year.

- PES Planning Session--July 1st through September 30th of each fiscal year (DEADLINE IS 9-30)
- PES Evaluation Sessions--July 1st through August 31st of each fiscal year (DEADLINE IS 8-31)

All Planning sessions must be submitted to Human Resources no later than September 30th of each fiscal year or if the 30th falls on a weekend, the Friday before September 30th.

All evaluation sessions must be submitted to Human Resources no later than August 31st of each fiscal year or if the 31st falls on a weekend, the Friday before August 31st.

A failure to timely submit a planning session or evaluation session is a violation of state law. Further, an Evaluating Supervisor or Second Level Evaluator who fails to administer the performance evaluation system in accordance with Civil Service Rules shall not be eligible for a performance adjustment (merit increase) for that year.

EFFECTIVE DATES

- All evaluations have an effective date of July 1st.
- All Performance Adjustments, if funding is available for such raises, have an effective date of October 1st.

REQUIRED COMPONENTS

The Performance Evaluation System shall consist of at least the following components:

1. A performance plan that lists the performance factors on which the employee’s overall performance will be evaluated,
2. A planning session at which the evaluating supervisor and the employee discuss the performance plan,
3. A standard planning and evaluation form,
4. A three-level evaluation system, and
5. A planning and evaluation instruction manual that is accessible to all employees.

**OFFICIAL PERFORMANCE EVALUATIONS AND EVALUATION SESSIONS**

Official performance evaluations are required for all classified employees. The Evaluating Supervisor shall base the official evaluation of the employee’s performance on the work tasks and behavior standards as stated on the performance planning and evaluation form. At least two behavioral expectations and at least two performance expectations must be a part of the performance plan.

Official evaluations shall be made after the performance year has ended and must be rendered no later than August 31st. All official overall evaluations will be recorded with an effective date of July 1st.

Evaluations become official on the date they are rendered. No evaluations shall be rendered after August 31st. To render an official evaluation, the Evaluating Supervisor shall:

1. complete a performance evaluation form after June 30th of the evaluation year,
2. provide documentation to support an evaluation of “Needs Improvement/Unsuccessful” or “Exceptional,”
3. obtain the Second Level Evaluator’s signed approval of the evaluation form prior to discussion with the employee,
4. discuss the evaluation with the employee and present the evaluation form to the employee to be signed and dated, and
5. give the employee a copy of the evaluation form with his official overall evaluation noted.

When an employee is not available, the provisions of civil service rules shall be satisfied when notification to the employee is made by mail. If the employee is notified by mail, the notification shall be deemed timely if it was mailed to the employee’s most recent address on or before August 31st, as evidenced by official proof of mailing. The agency must maintain documentation that the employee was notified on or before August 31st.

Should the employee decline to sign the performance evaluation form, the Evaluating Supervisor shall note this on the form and record the date that the evaluation session occurred. An employee cannot prevent the evaluation from becoming official by refusing to sign the form.

Evaluations of “Unrated” shall be indicated on the final overall performance evaluation form by the Evaluating Supervisor, Second Level Evaluator, or Human Resources Director. An employee shall be notified when he has been assigned an official overall evaluation of "Unrated".

**EFFECTS OF “NEEDS IMPROVEMENT/UNSUCCESSFUL RATINGS**

An evaluation of “Needs Improvement/Unsuccessful” is not a disciplinary action.

Any employee whose official overall evaluation is "Needs Improvement/Unsuccessful" shall not be:

1. eligible for a performance adjustment, a promotion or permanent status, or
2. detailed to a higher level position unless approved in advance by the Director of Civil Service.
An employee whose official overall evaluation is "Needs Improvement/Unsuccessful" may be separated or disciplined in accordance with the rules applicable to the employee’s status.

Permanent employees shall have a right to request a review in accordance with the provisions of rules 10.11 and 10.12.

**EFFECTS OF THE ABSENCE OF AN OFFICIAL RATING**

An employee who is not evaluated in accordance with the provisions of these rules shall have an official overall evaluation of "Unrated" on the evaluation effective date of July 1\(^{st}\). Permanent employees shall have a right to request a review in accordance with the provisions of rule 10.11.

**RECORD KEEPING AND REPORTING REQUIREMENTS**

Each completed performance evaluation form will be kept in the agency Human Resource office in a secure location not accessible to the public, and shall not be considered a public record. Completed forms must be available upon request to the Department of Civil Service for auditing purposes, to other agencies of the State of Louisiana for purposes of checking employment references and to the employee.

Each Appointing Authority shall annually report to the Director of Civil Service, in such manner as the Director prescribes, information about evaluations given during the previous year ending June 30\(^{th}\). The Director of Civil Service may require more frequent reporting as needed.

**AGENCY REVIEW PROCESS**

A permanent employee who receives an overall performance evaluation of “Unrated” or “Needs Improvement/Unsuccessful” may request an official review of that evaluation by an Agency Reviewer(s).

The Director of Human Resources will service as the Agency Reviewer and will designate an Agency Review Panel for discussion. The Agency Review Panel will be formed suited to the individual review process and shall not include the Evaluating Supervisor or the Second Level Evaluator who signed the evaluation being reviewed. The Agency Review Panel will include EEO representative, HR representative, and Division Head or Delegate.

1. The official overall evaluation may only be changed by the Agency Reviewer(s).
2. A request for review must be submitted in writing and be postmarked or received in the employing agency’s Human Resources office no later than September 15\(^{th}\) following the evaluation year. In the request for review, the employee must explain and provide supporting documentation for the request for review.
3. If the request for review is timely, the Agency Reviewer(s) must review the employee’s request, the evaluation given and any supporting documentation provided. The contested evaluation must be discussed with the employee and the Evaluating Supervisor.
4. The Agency Reviewer will call for a panel review.
5. The Agency Reviewer shall give the employee and the Evaluating Supervisor written notice of a decision. This notification shall be provided no later than October 15\(^{th}\). Any change in evaluation shall be retroactive to July 1\(^{st}\).

The performance evaluation form, the employee’s request for review, the Agency Reviewer(s)’ decision, and the supporting documentation attached to the performance evaluation, as well as any documents
requested from the employee or supervisor during the review, shall be maintained in the employee’s official personnel file or other secured performance file maintained in Human Resources.

**REQUEST FOR REVIEW BY DIRECTOR OF CIVIL SERVICE**

A permanent employee who receives an overall evaluation of “Needs Improvement/Unsuccessful” following an Agency Review may request to have his performance file reviewed by the Director or the Director’s designee.

A request for review under this rule must be postmarked or received by the Director no later than 10 calendar days following the date the employee received the Agency Review decision. In the request, the employee must explain why he is contesting the decision of the Agency Reviewer(s).

If the request for review is timely, the Director or his designee shall obtain and review the employee’s performance file. The Director may either affirm the overall evaluation or change the overall evaluation to “Unrated”. The Director’s decision shall be final.

The Director shall provide a written decision to the employee, the Evaluating Supervisor, and the Human Resources Officer no later than thirty (30) calendar days following the date the request for review was received.

**EXCEPTIONS TO RULES**

The Director of Civil Service may approve exceptions to these rules.

**AGENCY GRIEVANCE PROCESS**

The agency's grievance process shall not be used to review or reconsider evaluations or a procedural violation of these rules.

**EVALUATING SUPERVISOR**

The Appointing Authority shall designate an Evaluating Supervisor for each employee. Evaluating supervisors are designated through the Director of Human Resources and cannot be changed without permission. Generally, the Evaluating Supervisor is the person who is in the best position to observe and document the employee's performance.

The Evaluating Supervisor shall be responsible for administering the performance evaluation system for his designated employees in accordance with Civil Service Rules and any applicable agency policies. *An Evaluating Supervisor who fails to administer the performance evaluation system in accordance with Civil Service Rules shall not be eligible for a performance adjustment for that year.*

**SECOND LEVEL EVALUATOR**

The Appointing Authority shall designate a Second Level Evaluator for each employee. Generally, the Second Level Evaluator is the Evaluating Supervisor’s supervisor. The Second Level Evaluator must approve the performance plan and the performance evaluation prepared by the Evaluating Supervisor before they are given to the employee for signature.
The Second Level Evaluator shall be responsible for administering the performance evaluation system in accordance with Civil Service Rules and any applicable agency policies. *A Second Level Evaluator who fails to administer the performance evaluation system in accordance with Civil Service Rules shall not be eligible for a performance adjustment for that year.*

**PROCEDURES:**

**PERFORMANCE PLAN AND PERFORMANCE PLANNING SESSION/July 1st-September 30th**

The Evaluating Supervisor shall prepare a performance plan at the beginning of each evaluation period, July 1st through September 30th. The performance plan shall list work tasks and behavior standards on which the employee’s overall performance will be evaluated. These shall be recorded on the planning and evaluation form. *At least two behavioral standards and two performance standards are required for all employees.*

*Planning session must be conducted not later than September 30th of each year and submitted to Human Resources no later than September 30th of each year.*

The Evaluating Supervisor shall obtain the Second Level Evaluator’s signature approval of the performance planning prior to presenting it to the employee for discussion during the planning session.

After obtaining the Second Level Evaluator’s signature approval of the performance plan, the Evaluating Supervisor will conduct a performance planning session with the employee.

During the planning session, the Evaluating Supervisor shall present the performance planning and evaluation form to the employee and discuss the performance work tasks and behavior standards on which he will be evaluated and the performance that will be expected of him during the coming evaluation period.

The Evaluating Supervisor and the employee shall sign and date the performance planning and evaluation form to document the planning session. The employee shall be given a copy of the form. Should the employee decline to sign the performance planning and evaluation form, the Evaluating Supervisor shall note this on the form and record the date that the planning session occurred. An employee cannot prevent the planning session from becoming official by refusing to sign the form.

Planning sessions **shall** be conducted during the first three (3) calendar months following:

1. the appointment of a new employee;
2. the permanent movement of an employee into a position having a different position number with significantly different duties;
3. the beginning of the new performance evaluation year (no later than 9/30).

A performance planning session **may** be conducted when:

1. the employee gets a new Evaluating Supervisor,
2. performance expectations change, or
3. the Evaluating Supervisor deems a performance planning session is appropriate.

*A COPY OF THE PERFORMANCE PLANNING SESSION IS DUE IN HUMAN RESOURCES NOT LATER THAN SEPTEMBER 30TH OF EACH FISCAL YEAR. PLANNING SESSIONS MUST BE COMPLIANT AND TIMELY BY CIVIL SERVICE RULES.*
At the end of the performance evaluation period, July 1st through August 31st, the Evaluating Supervisor shall conduct an evaluation and assign one of the three values listed below to the employee’s overall performance based upon the work tasks and behavior standards established in the performance plan.

**Exceptional:** Work and behavior consistently exceeded the performance criteria.

**Successful:** Work and behavior met the performance criteria.

**Needs Improvement/Unsuccessful:** Work and/or behavior did not meet the performance criteria.

*Evaluations of Exceptional and Needs Improvement/Unsuccessful must have attached documentation to justify the rating.*

The Evaluating Supervisor shall obtain the Second Level Evaluator’s signature approval of the performance evaluation prior to presenting it to the employee for discussion during the evaluation session.

An Evaluating Supervisor may elect to assign an employee who worked less than three calendar months within the performance evaluation year a default overall evaluation of “Not Evaluated.” Permission must be granted by Director of Human Resources prior to making a decision to “not evaluate” an employee. An overall evaluation of “Not Evaluated” shall have the same effect as an evaluation of “Successful.” “Not Evaluated” evaluations may be given only when:

1. the employee is active as of June 30th, the end of the performance year, and
2. the employee has worked less than three (3) months at the evaluating agency within the performance year, and
3. the Director of Human Resources determines that not enough time has elapsed to create an evaluation for the employee.

When an evaluation is in violation of these rules, the employee shall receive an overall evaluation of “Unrated.” “Unrated” evaluations shall have the same effect as an evaluation of “Successful.” Unrated evaluations are reported to the Civil Service Commission and will cause denial of performance or merit raise to Evaluating Supervisor or Second Level Evaluator.

*THE ORIGINAL EVALUATION FORM MUST BE SUBMITTED TO HUMAN RESOURCES NOT LATER THAN AUGUST 31ST OF EACH FISCAL YEAR. UNTIMELY EVALUATIONS ARE CONSIDERED “UNRATED” AND A VIOLATION OF CIVIL SERVICE RULES AND STATE LAW.*