



POLICY STATEMENT 79

PERFORMANCE EVALUATION SYSTEM FOR CLASSIFIED EMPLOYEES

POLICY DIGEST

Primary Monitoring Unit: Human Resources and Business Affairs
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I. INTRODUCTION

The Performance Evaluation System is a tool used to measure individual performance and to develop employees into high-performing individuals. This Performance Evaluation System is effective July 1, 2012 and applies to all classified employees. The performance evaluation year shall be July 1st through June 30th of each year.

II. EVALUATING SUPERVISOR

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 these Rules shall not be eligible for a performance adjustment for that year.

III. SECOND LEVEL EVALUATOR

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 these Rules shall not be eligible for a performance adjustment for that year.

IV. PERFORMANCE EVALUATIONS

- A. Each employee shall be evaluated on his overall performance based on work tasks and behavior standards determined by the evaluating supervisor to be requirements of the employee's job.
- B. Additionally, each supervisory employee shall be evaluated on his administration of the performance evaluation system as required by these rules.

V. PERFORMANCE PLAN AND PERFORMANCE PLANNING SESSION

- C. The Evaluating Supervisor shall prepare a performance plan at the beginning of each evaluation period. 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.
- D. The Evaluating Supervisor shall obtain the Second Level Evaluator's signature approval of the performance planning and evaluation form prior to presenting it to the employee for final signature.
- E. 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.
- F. 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.
- G. 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.
- H. 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).
- I. 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.

VI. OVERALL PERFORMANCE EVALUATION

- A. At the end of the performance evaluation period, the Evaluating Supervisor shall 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. Documentation required.

Successful: Work and behavior met the performance criteria.

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

B. 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." 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 appointing authority determines that not enough time has elapsed to create an evaluation for the employee.

C. 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."

VII. OFFICIAL PERFORMANCE EVALUATIONS AND EVALUATION SESSIONS

A. 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.

B. Official evaluations shall be made after the performance year has ended and must be rendered no later than September 30th. All official overall evaluations will be recorded with an effective date of July 1st.

C. Evaluations become official on the date they are rendered. No evaluations shall be rendered after September 30th. 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.

D. When an employee is not available, the provisions of this rule 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 September 30th, as evidenced by official proof of mailing. The agency must maintain documentation that the employee was notified on or before September 30th.

E. 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.

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

VIII. EFFECTS OF THE NEEDS IMPROVEMENT/UNSUCCESSFUL EVALUATION

A. An evaluation of "Needs Improvement/Unsuccessful" is not a disciplinary action.

B. 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.

C. 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.

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

IX. EFFECT OF THE ABSENCE OF AN OFFICIAL EVALUATION

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 1st. Permanent employees shall have a right to request a review in accordance with the provisions of rule 10.11.

X. RECORD KEEPING AND REPORTING REQUIREMENTS

A. Each completed performance evaluation form shall be kept in the agency Human Resource office or other designated, 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

147 State of Louisiana for purposes of checking employment references and to the
148 employee.

149 B. Each Appointing Authority shall annually report to the Director of Civil Service, in such
150 manner as the Director prescribes, information about evaluations given during the
151 previous year ending June 30th. The Director of Civil Service may require more frequent
152 reporting as needed.

153 **XI. AGENCY REVIEW**

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

157 B. The appointing authority shall designate the Agency Reviewer or an Agency Review
158 Panel. The Reviewer(s) shall not be either the Evaluating Supervisor or the Second
159 Level Evaluator who signed the evaluation being reviewed.

160 C. The official overall evaluation may only be changed by the Agency Reviewer(s).

161 D. A request for review must be submitted in writing and be postmarked or received in the
162 employing agency's Human Resources office no later than October 15th following the
163 evaluation year. In the request for review, the employee must explain and provide
164 supporting documentation for the request for review.

165 E. If the request for review is timely, the Agency Reviewer(s) must review the employee's
166 request, the evaluation given and any supporting documentation provided. The
167 contested evaluation must be discussed with the employee and the Evaluating
168 Supervisor.

169 F. The Agency Reviewer(s) shall give the employee, the Evaluating Supervisor, and the
170 Human Resources office written notice of the results of their review. This notification
171 shall be provided no later than November 15th. Any change in evaluation shall be
172 retroactive to July 1st.

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

178 **XII. REQUEST FOR REVIEW BY THE DIRECTOR OF CIVIL SERVICE**

179 A. A permanent employee who receives an overall evaluation of "Needs
180 Improvement/Unsuccessful" following an Agency Review may request to have his
181 performance file reviewed by the Director or the Director's designee.

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

- 186 C. If the request for review is timely, the Director or his designee shall obtain and review the
187 employee's performance file. The Director may either affirm the overall evaluation or
188 change the overall evaluation to "Unrated". The Director's decision shall be final.
- 189 D. The Director shall provide a written decision to the employee, the Evaluating Supervisor,
190 and the Human Resources Officer no later than thirty (30) calendar days following the
191 date the request for review was received.

192 **XIII. GRIEVANCE PROCESS**

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

Employee Information

Dept/Office/Section/Unit:	Employee Personnel #:
Employee Name:	Performance Year:
Employee Title:	Evaluation Period:



Initial Planning Session

Step #1 - Evaluating Supervisor (SCS Rule 10.2):

Signature:			
Personnel #:	Date Given to Second Level Evaluator:		

Step #2 - Second Level Evaluator (SCS Rule 10.3):

Signature:			
Personnel #:	Date Approved (Must be on or before planning session):		

Step #3 - Employee:

Employee Signature:	Date:
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By signing and dating this form, I am certifying that my evaluating supervisor conducted a planning session with me on the date shown.

Updated Planning Sessions (Optional):

Date Conducted:		Supervisor Initial:		Employee Initial:	
Date Conducted:		Supervisor Initial:		Employee Initial:	
Date Conducted:		Supervisor Initial:		Employee Initial:	

Agency Human Resources Office Use Only (Optional)

Date Planning Received in Human Resources:	Human Resources Staff Initial:	Evaluating Supervisor Compliance (Y/N)	Second Level Evaluator Compliance (Y/N)
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Evaluation Session			
Step #1 - Evaluating Supervisor (SCS Rule 10.2):			
Signature:			
Personnel #:		Date Given to Second Level Evaluator:	
Step #2 - Second Level Evaluator (SCS Rule 10.3):			
Signature:			
Personnel #:		Date Approved (Must be on or before evaluation session):	
Step #3 - Employee:			
Employee Signature:		Date:	
By signing and dating this form, I am certifying that my evaluating supervisor conducted an evaluation session with me on the date shown.			
Employee Statement (Only if Employee is NOT Signing Form for purposes of Evaluation): ☐ I have decided not to sign this form, but I acknowledge that I received a copy of the evaluation and understand that my failure to sign will not prohibit the evaluation from becoming official for the performance year.			
If employee did not sign above, or chose not to sign the form, please indicate whether the employee was given or mailed a copy of the evaluation below:			
Mailed	☐	Given	☐
Overall Evaluation: (Select only one evaluation) ☐ Exceptional ☐ Successful ☐ Needs Improvement/Unsuccessful ☐ Not Evaluated ☐ Unrated - If Unrated, select sub-category: ☐ Never Rendered ☐ Untimely ☐ Violation of Chapter 10			
Agency Human Resources Office Use Only (Optional)			
Date Evaluation Received in Human Resources:		Human Resources Staff Initial:	
		Evaluating Supervisor Compliance (Y/N)	
		Second Level Evaluator Compliance (Y/N)	

Employee Name:		Employee Personnel #:	
Agency Mission / Goals / Standards:			
Department Mission / Goals:			
Work and Behavior Expectations (at least one each):		Bank of Expectations	
Documentation / Comments			