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GOVERNOR

PAUL W. RAINWATER
COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Human Resources

DIVISION OF ADMINISTRATION

PERSONNEL POLICY NO. 26

EFFECTIVE DATE: **May 16, 1994**

REVISED DATE: **October 17, 2003; August 28, 2009; July 1, 2012**

SUBJECT: **Performance Evaluation System (PES) and Performance Adjustments**

AUTHORIZATION: **Steven Procopio, Appointing Authority**

I. POLICY:

In accordance with Civil Service Rules contained in Chapter 10, the performance of all employees, classified and unclassified, with the exception of WAE (When Actually Employed) employees and students, shall be evaluated by the appropriate supervisory personnel in a timely fashion and on a regular basis. Sections are given the option of evaluating the performance of WAE employees and students at their discretion.

Employees become eligible for a performance adjustment with an evaluation of "Successful" or "Exceptional". The appointing authority may authorize performance adjustments to eligible employees, provided funds are available.

Unless extraordinary circumstances occur, performance adjustments are 4% of the employee's pay rate, not to exceed the maximum of the pay range established by Civil Service for the employee's job title.

II. PURPOSE:

The purpose of this policy is to set forth rules governing performance evaluations and performance adjustments.

III. APPLICABILITY:

This policy shall be applicable to all employees, in all sections of the Division of Administration (DOA), both general and ancillary appropriations.

IV. DEFINITIONS:

A. **Performance Plan** - The document that records the work tasks and work behaviors expected of the employee. Work tasks and work behaviors are established by the evaluating supervisor, with the approval of the second level evaluator, based on the DOA mission statement, section goals, and the employee's role in fulfilling the goals and mission.

B. **Performance Evaluation** - The official, overall evaluation of the performance of an employee for the fiscal year, measured against the performance plan.

An employee will be evaluated as:

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.

In cases where an employee has been in a position fewer than three months or has been at work fewer than three months during the performance period due to extended absence, a designation of **"Not Evaluated"** will be allowed. For the employee, a "Not Evaluated" designation will have the same effect as an evaluation of "Successful".

The performance of an employee will be designated as **"Unrated"** when the employee does not receive an evaluation, the evaluation is untimely, or the evaluation contains some other technical violation of applicable Civil Service Rules. For the employee, an "Unrated" designation will have the same effect as an evaluation of "Successful".

C. **Evaluating Supervisor** - The immediate supervisor will be the evaluating supervisor unless otherwise designated by the section head or appointing authority. This individual is responsible for administering the performance evaluation system for his designated employees. 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, regardless of the Evaluating Supervisor's own rating.

D. **Second Level Evaluator** - This individual is responsible for administering the performance evaluation system in accordance with Chapter 10 of the Civil Service Rules and DOA policy. 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, regardless of the Second Level Evaluator's own rating. In the DOA, the Second Level Evaluator will be the Section Head.

V. PROCEDURE:

A. Performance Plan

1. A Performance Plan is required for each employee.

   a. For all **new employees**, a Performance Plan **must be** conducted within 90 days of hire.

   b. For all **employees**, a yearly planning session **must be** conducted no later than September 30.

   c. For employees who move permanently into a position having a different position number with **significantly different duties**, a new planning session **must be** conducted within 90 days of transferring into the new position.

   d. When an employee gets a new evaluating supervisor or when performance expectations change, a performance planning session **may be** conducted.

   e. Planning expectations **may be** revised during the performance year. Any changes must be initialed and dated by both supervisor and employee.

2. How to do a Planning Session:

   a. The evaluating supervisor establishes the expectations upon which the employee's performance will be evaluated in the performance plan document. These expectations **must** include the required behavioral expectations for all DOA employees. A minimum of five expectations is required for all non-supervisory employees of the DOA. In addition to the two standard expectations, each employee shall have one additional behavior expectation and two task expectations. Further, all supervisory employees will be evaluated on their demonstrated capacity for supervision using the following expectation: "Use good communication, documentation, observation and assessment skills to fairly plan and accurately evaluate the performance of each employee supervised, following all applicable Civil Service Chapter 10 Rules."

   b. The evaluating supervisor submits the performance plan document to the second level evaluator for assessment and approval **prior** to conducting a formal, private meeting with the employee to discuss the plan.

c. The performance plan is discussed, signed and dated by the supervisor and employee.

d. The original, signed performance plan is sent to the Office of Human Resources. A copy of the performance plan is kept in the evaluating supervisor's productivity file for that employee. A copy must be given to the employee.

Failure to conduct a proper performance plan session as described above is a violation of Civil Service Rule 10.5. An evaluating supervisor who fails to conduct a compliant performance plan session will not be eligible for a performance adjustment for that performance period.

B. Performance Coaching

1. Over the course of the year, the evaluating supervisor should monitor the performance of the employee based on the expectations given in the performance plan.

2. The evaluating supervisor should have on-going communication with the employee, providing support, information, resources, training, and encouragement. Concerns about performance should be raised as soon as they are recognized to allow the employee to address the issues and change the performance.

C. Performance Evaluation

1. Each employee shall be evaluated on his overall performance based on work tasks and behavior standards determined by the evaluating supervisor. The evaluation period for all employees is July 1 – August 31.

   An evaluation which is found not to comply with the rules contained in Civil Service Chapter 10 will be "Unrated." For the employee, an evaluation which is "Unrated" has the same effect as a "Successful" evaluation. The employee must be notified when an evaluation has been determined to be "Unrated."

2. To create an official performance evaluation, the evaluating supervisor shall:

   a. Complete the evaluation form, including comments and documentation.

   b. Submit the proposed evaluation to the second level evaluator for approval and signature.

c. Hold a private meeting with the employee to discuss the evaluation.

d. Sign and date the evaluation, obtaining the employee's signature as well.

e. Make a copy of the completed form for supervisor and employee.

f. Forward the original, signed PES to the Office of Human Resources.

g. When an employee is not available, the evaluation shall be considered complete when it has been mailed to the most recent address provided by the employee on or before August 31, as evidenced by official proof of mailing.

h. 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.

i. The performance evaluation shall become official when the employee receives a copy. After a performance evaluation becomes official, only the **reviewer** designated by the appointing authority in accordance with Civil Service Rule 10.11 can change the evaluation.

3. Request for an Agency review:

a. 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.

b. The appointing authority shall designate the Agency Reviewer. The Reviewer shall not be either the Evaluating Supervisor or the Second Level Evaluator who signed the evaluation being reviewed.

c. The official overall evaluation may only be changed by the Agency Reviewer.

d. 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 15th following the

evaluation year. The request should be made on the PES Request for Review Form, which is available on the website of the Department of State Civil Service.

e. If the request for review is compliant, the Agency Reviewer 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.

f. The Agency Reviewer shall give the employee, the Evaluating Supervisor, and the Human Resources office written notice of the results of their review. This notification shall be provided no later than October 15th. Any change in evaluation shall be retroactive to July 1st.

g. 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.

4. 10.12 Request for Review by the Director of Civil Service:

a. 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.

b. 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.

c. 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.

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

VI. RESPONSIBILITY:

DEPUTY/ASSISTANT COMMISSIONERS AND EQUIVALENT are responsible for:

Holding section heads under his supervision accountable for adhering to all aspects of this policy.

Complying with this policy as it relates to individuals that he directly supervises.

Communicating to section heads, managers, and supervisors when he wants direct input in the evaluation of one or more employees prior to the evaluation becoming official.

SECTION HEADS are responsible for:

Ensuring that each employee under his supervision, current and new, is made aware of this policy and its contents as well as any forthcoming revisions.

Ensuring that each manager or supervisor communicates to the employees that he supervises his performance expectations (what the manager or supervisor expects the employee to do) within the time frame specified by the PES process and document the communication.

Ensuring that the performance of each employee that he supervises is given performance expectations and evaluation in a manner compliant with DOA policy and Civil Service Rules.

Ensuring that each manager or supervisor has <u>on-going</u> communication with his employees regarding performance expectations as well as honest discussions about how the employee is doing.

Ensuring that performance adjustments are not recommended automatically, but rather are recommended based upon successfully meeting performance objectives and that a recommendation against giving a performance adjustment is supported by documentation of failure to meet performance objectives.

Ensuring that, if managers or supervisors fail to conduct planning or evaluation sessions for their employees compliant with Civil Service Rule 10, it is noted in their PES and they are not recommended for a performance adjustment.

Serving as the 2nd Level Evaluator for performance plans and evaluations within their section.

MANAGERS AND SUPERVISORS are responsible for:

Complying with this policy in any fashion instructed by the section head.

Ensuring that each employee under his supervision, current and new, is made aware of this policy and its contents as well as any forthcoming revisions.

Communicating performance expectations to the employees that he supervises (what the manager or supervisor expects the employee to do) within the time frame specified by the PES process and document the communication.

Ensuring that the performance of each employee is evaluated in a compliant manner and that:

- The evaluation is based on job performance, and
- The evaluation is approved by all appropriate individuals prior to its being discussed with the employee, and
- The pertinent performance issues are discussed with the employee, and
- Appropriate documentation is provided.

Ensuring that performance adjustments are not recommended automatically, but rather are recommended based upon successfully meeting performance objectives and that a recommendation against giving a performance adjustment is supported by documentation of failure to meet performance objectives.

THE OFFICE OF HUMAN RESOURCES is responsible for:

Ensuring that this policy and subsequent revisions are made available to all DOA employees.

Acting as the official custodian of PES files for all DOA employees.

EMPLOYEES are responsible for:

Meeting the objectives given in the performance plan.

Following written and verbal instructions from the supervisor as a part of job performance.

Requesting clarification of performance objectives from the supervisor when necessary.

Being an active participant in the PES process.

VII. EXCEPTIONS:

In the event that budgetary constraints prevent implementation of performance adjustments, performance evaluations will continue to be required. Any requests for exceptions to this policy or to Civil Service Rules must be justified, documented and submitted to the Appointing Authority for consideration.

VIII. QUESTIONS:

Questions should be directed to staff of the Office of Human Resources.