

SUBJECT: Performance Evaluation System for Classified Employees

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

5
6 **Evaluating Supervisor**

7 The Evaluating Supervisor shall be responsible for administering the performance evaluation
8 system for his designated employees in accordance with civil service rules and any applicable
9 agency policies. An Evaluating Supervisor who fails to administer the performance evaluation
10 system in accordance with these Rules shall not be eligible for a performance adjustment for
11 that year.

12
13 **Second Level Evaluator**

14 The Second Level Evaluator is the Evaluating Supervisor's supervisor. The Second Level
15 Evaluator must approve the performance plan and the performance evaluation prepared by the
16 Evaluating Supervisor before they are given to the employee for signature. The Second Level
17 Evaluator shall be responsible for administering the performance evaluation system in
18 accordance with civil service rules and any applicable agency policies. A Second Level
19 Evaluator who fails to administer the performance evaluation system in accordance with these
20 Rules shall not be eligible for a performance adjustment for that year.

21
22 **Performance Evaluations**

23 (a) Each employee shall be evaluated on his overall performance based on work tasks and
24 behavior standards determined by the evaluating supervisor to be requirements of the
25 employee's job.

26 (b) Additionally, each supervisory employee shall be evaluated on his administration of the
27 performance evaluation system as required by these rules.

28
29 **Performance Plan and Performance Planning Session**

30 (a) The Evaluating Supervisor shall prepare a performance plan at the beginning of each
31 evaluation period. The performance plan shall list work tasks and behavior standards on which
32 the employee's overall performance will be evaluated. These shall be recorded on the planning
33 and evaluation form.

34 (b) The Evaluating Supervisor shall obtain the Second Level Evaluator's signature approval of
35 the performance planning and evaluation form prior to presenting it to the employee for final
36 signature.

37 (c) After obtaining the Second Level Evaluator's signature approval of the performance plan, the
38 Evaluating Supervisor will conduct a performance planning session with the employee.

39 (d) During the planning session, the Evaluating Supervisor shall present the performance
40 planning and evaluation form to the employee and discuss the performance work tasks and

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41 behavior standards on which he will be evaluated and the performance that will be expected of
42 him during the coming evaluation period.

43
44 (e) The Evaluating Supervisor and the employee shall sign and date the performance planning
45 and evaluation form to document the planning session. The employee shall be given a copy of
46 the form. Should the employee decline to sign the performance planning and evaluation form,
47 the Evaluating Supervisor shall note this on the form and record the date that the planning
48 session occurred. An employee cannot prevent the planning session from becoming official by
49 refusing to sign the form.

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

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

55 (g) A performance planning session **may** be conducted when:

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

59

60 **Overall Performance Evaluation**

61 (a) At the end of the performance evaluation period, the Evaluating Supervisor shall assign one
62 of the three values listed below to the employee's overall performance based upon the work
63 tasks and behavior standards established in the performance plan.

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

65 Documentation required.

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

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

69 (b) An Evaluating Supervisor may elect to assign an employee who worked less than three
70 calendar months within the performance evaluation year a default overall evaluation of "Not
71 Evaluated." An overall evaluation of "Not Evaluated" shall have the same effect as an evaluation
72 of "Successful." "Not Evaluated" evaluations may be given **only** when:

- 73 1. the employee is active as of June 30th, the end of the performance year, and
- 74 2. the employee has worked less than three (3) months at the evaluating agency within
75 the performance year, and
- 76 3. the appointing authority determines that not enough time has elapsed to create an
77 evaluation for the employee.

78 (c) When an evaluation is in violation of these rules, the employee shall receive an overall
79 evaluation of "Unrated." "Unrated" evaluations shall have the same effect as an evaluation of
80 "Successful."

81

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82 **Official Performance Evaluations and Evaluation Sessions**

83 (a) Official performance evaluations are required for all classified employees. The Evaluating
84 Supervisor shall base the official evaluation of the employee's performance on the work tasks
85 and behavior standards as stated on the performance planning and evaluation form.

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

89 (c) Evaluations become official on the date they are rendered. No evaluations shall be rendered
90 after September 30th. To render an official evaluation, the Evaluating Supervisor shall:

- 91 1. complete a performance evaluation form after June 30th of the evaluation year,
- 92 2. provide documentation to support an evaluation of "Needs Improvement/
93 Unsuccessful" or "Exceptional,"
- 94 3. obtain the Second Level Evaluator's signed approval of the evaluation form prior to
95 discussion with the employee,
- 96 4. discuss the evaluation with the employee and present the evaluation form to the
97 employee to be signed and dated, and
- 98 5. give the employee a copy of the evaluation form with his official overall evaluation
99 noted.

100 (d) When an employee is not available, the provisions of this rule shall be satisfied when
101 notification to the employee is made by mail. If the employee is notified by mail, the notification
102 shall be deemed timely if it was mailed to the employee's most recent address on or before
103 September 30th, as evidenced by official proof of mailing. The agency must maintain
104 documentation that the employee was notified on or before September 30th.

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

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

112

113 **Effects of the Needs Improvement/Unsuccessful Evaluation**

114 (a) An evaluation of "Needs Improvement/Unsuccessful" is not a disciplinary action.

115 (b) Any employee whose official overall evaluation is "Needs Improvement/Unsuccessful" shall
116 **not** be:

- 117 1. eligible for a performance adjustment, a promotion or permanent status, or
- 118 2. detailed to a higher level position unless approved in advance by the Director of Civil
119 Service.

120 (c) An employee whose official overall evaluation is "Needs Improvement/Unsuccessful" may be
121 separated or disciplined in accordance with the rules applicable to the employee's status.

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

124

125 **Effect of the Absence of an Official Evaluation**

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

129

130 **Record Keeping and Reporting Requirements.**

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

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

139

140 **Agency Review**

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

144 (b) The appointing authority shall designate the Agency Reviewer or an Agency Review Panel.
145 The Reviewer(s) shall not be either the Evaluating Supervisor or the Second Level Evaluator
146 who signed the evaluation being reviewed.

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

148 (d) A request for review must be submitted in writing and be postmarked or received in the
149 employing agency's Human Resources office no later than October 15th following the evaluation
150 year. In the request for review, the employee must explain and provide supporting
151 documentation for the request for review.

152 (e) If the request for review is timely, the Agency Reviewer(s) must review the employee's
153 request, the evaluation given and any supporting documentation provided. The contested
154 evaluation must be discussed with the employee and the Evaluating Supervisor.

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

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

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164 **Request for Review by the Director of Civil Service**

165 (a) A permanent employee who receives an overall evaluation of "Needs
166 Improvement/Unsuccessful" following an Agency Review may request to have his performance
167 file reviewed by the Director or the Director's designee.

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

172 (c) If the request for review is timely, the Director or his designee shall obtain and review the
173 employee's performance file. The Director may either affirm the overall evaluation or change the
174 overall evaluation to "Unrated". The Director's decision shall be final.

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

178

179 **Grievance Process**

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

SCS-PES EVAL (Rev 7/12)

SCS Performance Evaluation System – Planning & Evaluation Form



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

Overall Evaluation: (Select only one evaluation)		<input type="checkbox"/> Exceptional	<input type="checkbox"/> Successful	<input type="checkbox"/> Needs Improvement/Unsuccessful
<input type="checkbox"/> Not Evaluated	<input type="checkbox"/> Unrated - If Unrated, select sub-category:	<input type="checkbox"/> Never Rendered	<input type="checkbox"/> Untimely	<input type="checkbox"/> Violation of Chapter 10

Planning Session (7/1 – 9/30)	Evaluation Session (7/1 – 8/31)
Date the Planning Session was Conducted: _____	Date the Evaluation Session was Conducted: _____
Second Level Evaluator Signature: _____	Delivery: <input type="checkbox"/> Hand <input type="checkbox"/> Mail
Personnel #: _____ Date: _____	Second Level Evaluator Signature: _____
Evaluating Supervisor Signature: _____	Personnel #: _____ Date: _____
Personnel #: _____ Date: _____	Evaluating Supervisor Signature: _____
Employee Signature: _____ Date: _____	Personnel #: _____ Date: _____
Employee Signature: _____ Date: _____	Employee Signature: _____
Interim Discussions (optional)	Employee Statement: <input type="checkbox"/> I have received a copy of the evaluation and understand that failure to sign will not prohibit the evaluation from becoming official for the performance year.
Date: _____ Employee/Supv Initials: _____	
Date: _____ Employee/Supv Initials: _____	

Human Resources Office Use Only	
Date Planning Received in Human Resources: _____	Human Resources Staff Initial: _____
Date Evaluation Received in Human Resources: _____	Human Resources Staff Initial: _____

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SCS Performance Evaluation System – Planning & Evaluation Form



Employee Name:

Employee Personnel #:

Agency Mission / Goals / Standards:

Department Mission / Goals:

Work and Behavior Expectations (at least one each):

[Bank of Expectations](#)

Documentation / Comments (attach supporting documentation):