

PPM #10

Policy Name: *Performance Evaluation System (PES)*
Effective Date: *December 17, 2001*
Revision Date: *September 14, 2011; December 1, 2011; July 1, 2012;
March 3, 2014; October 13, 2015*

Authorization: 
Charles R. Davis, Deputy Secretary

I. PURPOSE

The Performance Evaluation System (PES) is a tool used to measure individual performance and to develop employees into high-performing individuals. As such, the Office of the Lieutenant Governor (OLG) and Department of Culture, Recreation and Tourism (DCRT) are committed to utilizing the PES process to meaningfully communicate with employees while adhering to the requirements imposed by Chapter 10 of the Civil Service Rules.

II. APPLICABILITY

This policy applies to all OLG/DCRT classified employees, excluding those serving as a classified WAE, as well as the immediate and second-line supervisors thereof.

III. DEFINITIONS

Performance evaluation – an assessment of an employee’s overall performance based on work tasks and behavior standards, resulting in the assignment of one of three values:

- *Exceptional* – Work 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.

Performance evaluation year – the time period on which an employee is evaluated; July 1 through June 30 of each year.

Performance evaluation period – the time frame in which an evaluating supervisor has to prepare/sign a performance evaluation, have it approved/signed by the second-level evaluator, and review the evaluation with the employee; Civil Service Rules define this period as July 1 through August 31 following the evaluation year that just ended. However, in accordance with this policy, it is required that performance evaluations be submitted to the Human Resources Division no later than **August 15**.

Performance plan – a list of work tasks and behavior standards on which an employee’s overall performance will be evaluated.

Performance planning period – the time frame in which an evaluating supervisor has to prepare a performance plan, have it approved/signed by the second-level evaluator, and review the plan with the employee; Civil Service Rules define this period as July 1 through September 30 following the evaluation year that just ended. However, in accordance with this policy, it is required that performance plans be submitted to the Human Resources Division no later than **September 15**.

Evaluating Supervisor – the immediate supervisor of the employee, as determined by the official position description (SF-3) on file in the Human Resources Division, who is responsible for preparing the performance plan and performance evaluation.

Second-level Evaluator – the manager (or second-line supervisor) of the employee, as determined by the official position description (SF-3) on file in the Human Resources Division, who is responsible for approving/signing the performance plan and performance evaluation prior to the evaluating supervisor’s issuance to the employee.

IV. PERFORMANCE PLAN

Between July 1 and September 15, the evaluating supervisor must determine what the performance expectations will be for each of his/her assigned employees for the Fiscal Year that has just begun. The performance plan process is as follows:

- a. The Evaluating Supervisor prepares the performance plan using the *Performance Evaluation System – Planning and Evaluation form*;
- b. The Evaluating Supervisor shall sign the form under Step #1 of page 1 and indicate the date that he/she provided the performance plan to the Second-level Evaluator;
- c. If approved, the Second-level Evaluator signs the form under Step #2 of page 1, dates his/her approval of the performance plan, and returns it to the Evaluating Supervisor;
- d. The Evaluating Supervisor conducts a performance planning session with the employee;
- e. During the planning session, the Evaluating Supervisor shall present the form to the employee and discuss the Work and Behavior standards on which he/she will be evaluated;
- f. The employee signs and dates under Step #3 of page 1 of the performance plan; and
- g. The Evaluating Supervisor shall provide the employee with a copy of the completed form.

In addition to the beginning of each Fiscal Year, performance planning sessions are required to be conducted during the first three (3) calendar months following:

1. The appointment of a new employee; or
2. The permanent movement of an employee into a position having a different position number with significantly different duties.

Performance planning sessions may also be conducted throughout the performance evaluation year as expectations change or as deemed appropriate by the Evaluating Supervisor and Second-level Evaluator. To update the performance plan, the Evaluating Supervisor must attach the revised expectations to the original page 1 of the planning document, and both the employee and Evaluating Supervisor must initial and date page 1 under the "Updated Planning Sessions" section. A copy of the updated planning session must be provided to the Human Resources Division within five (5) business days thereafter.

V. PERFORMANCE EVALUATION

Between July 1 and August 15, the evaluating supervisor must determine what the overall performance has been for each of his/her assigned employees for the Fiscal Year that has just ended. The performance evaluation, which is recorded with an effective date of July 1, is based on the work and behavior standards that were set during the most recent performance planning session. The performance evaluation process is as follows:

- a. The Evaluating Supervisor prepares a performance evaluation using the *Performance Evaluation System – Planning and Evaluation form*, to include marking an Overall Evaluation rating on page 2 and inserting any comments deemed appropriate in the Documentation/Comments section of the form;
- b. If the Evaluating Supervisor deems it necessary, he/she may also attach documentation to support the overall rating being given. NOTE: As long as the supervisor has included comments comprehensive of the employee's work and behavior, the attachment of documentation is not required.
- c. The Evaluating Supervisor shall sign the form under Step #1 of page 2 and indicate the date that he/she provided the performance evaluation to the Second-level Evaluator;
- d. If approved, the Second-level Evaluator signs the form under Step #2 of page 2, dates his/her approval of the performance, and returns it to the Evaluating Supervisor;
- e. The Evaluating Supervisor discusses the evaluation with the employee;
- f. The employee signs and dates under Step #3 of page 2 of the performance evaluation; and
- g. The Evaluating Supervisor shall provide the employee with a copy of the completed form with his official overall evaluation noted.

Not Evaluated: In accordance with the following circumstances, an Evaluating Supervisor may elect to assign an employee an overall "Not Evaluated" when:

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

An overall “Not Evaluated” has the same effect as an evaluation of “Successful.”

Unrated: **OLG/DCRT is committed to having a 0.0% Unrated rate.** As a result, an Evaluating Supervisor and/or Second-level Evaluator who fails to comply with the PES requirements resulting in an Unrated evaluation will be subject to corrective action for failure to adhere to Department policy.

The following are the circumstances in which an employee must be evaluated as “Unrated:”

1. When the performance evaluation is rendered in violation of the Chapter 10 Civil Service Rules (such as conducting the evaluation after the applicable deadline), or
2. An employee fails to receive a performance evaluation at all.

Evaluations of “Unrated” must be indicated on the performance evaluation form, and the employee must be notified of such. An “Unrated” evaluation has the same effect as an evaluation of “Successful.”

VI. SIGNATURE ISSUES

A. Sequencing of Signatures

The Evaluating Supervisor must sign and date on or before the Second-level Evaluator. The date of the Second-level Evaluator must be on or before the date of the employee’s signature. The employee must sign and date on the day the planning and/or evaluation was conducted.

B. Employee Refusal to Sign

If an employee declines to sign a PES Planning and Evaluation form (whether it be for a performance plan or performance evaluation), the Evaluating Supervisor shall note this on the form and record the date that the planning or evaluation session occurred. An employee cannot prevent the planning or evaluation from becoming official by refusing to sign the form.

C. Employee Unavailable to Sign

When an employee is unavailable to sign a PES Planning and Evaluation form (whether it be for a performance plan or performance evaluation), the Evaluating

Supervisor must mail the form to the employee's most recent address. In accordance with this policy, the form must be mailed on or before the deadline (for performance plan, 9/15; for performance evaluation, 8/15), as evidenced by an official proof of mailing receipt from the U.S. Post Office. This receipt must be attached to the PES form that is submitted to the Human Resources Division for the employee's personnel file.

VII. DEPARTMENT-SPECIFIC REQUIREMENTS

The objective of the PES system is to align individual goals and expectations to agency goals. In furtherance of this objective, *it is required that the following standardized language be utilized on all performance plans and performance evaluations:*

A. Agency Mission / Goals / Standards

The mission of the Office of the Lieutenant Governor (OLG) and Department of Culture, Recreation and Tourism (DCRT) is to preserve and enhance Louisiana's unique heritage and natural landscape; provide cultural, informational and recreational services; and promote the use of these resources by our diverse citizens and visitors.

B. Department Mission / Goals

(Utilize the statement that applies to the Office in which the employee works)

Volunteer Louisiana

The mission of Volunteer Louisiana is to build and sustain high quality programs that meet the needs of Louisiana's citizens and promote an ethic of service.

Office of the Secretary

The mission of the Office of the Secretary (OS) is to establish, direct and facilitate the achievement of the Department's collective goals and operating standards.

Office of Management and Finance

The mission of the Office of Management and Finance (OMF) is to provide the highest quality of fiscal, human resources, information technology services and contracts management to enhance the operations of the six offices within the Office of the Lieutenant Governor and Department of Culture, Recreation and Tourism in order to efficiently support those offices in the accomplishment of their stated goals and objectives.

Office of State Library

The mission of the Office of State Library (OSL) is to foster a culture of literacy; promote awareness of our State's rich literacy heritage; and ensure preservation of and public access to informational, educational, cultural and recreational resources, especially those unique to Louisiana.

Office of State Museum

The mission of the Office of State Museum (OSM) is to collect, preserve and present, as an educational resource, objects of art, documents, artifacts and the like that reflect the history, art and culture of Louisiana for the citizens and visitors to the State of Louisiana.

Office of State Parks

The mission of the Office of State Parks (OSP) is to serve the citizens of Louisiana and its visitors by preserving and interpreting natural areas of unique or exceptional scenic value; planning, developing and operating sites that provide outdoor recreational opportunities in natural surroundings; preserving and interpreting historical and scientific sites of statewide importance; and administering inter-governmental programs related to outdoor recreation and trails.

Office of Cultural Development

The mission of the Office of Cultural Development (OCD) is to create and support jobs in the cultural economy; provide and leverage opportunities for economic development for Louisiana's cultural assets and communities; and provide an infrastructure where Louisiana's authentic culture increases educational opportunities, community development efforts and quality of life for all citizens statewide.

Office of Tourism

The mission of the Office of Tourism is to promote and assist expansion of tourism and the tourism industry in Louisiana through ongoing promotion and publicity designed to create and sustain a positive image and understanding of Louisiana; coordinate and provide research to benefit the industry; and afford visitors a safe, welcoming environment in which to enjoy area attractions and learn more about Louisiana's culture, history and traditions.

C. Work and Behavior Expectations

As noted on the PES Planning and Evaluation form, Civil Service requires at least one expectation for each category: Work and Behavior. Nonetheless, it is the policy of OLG/DCRT to elevate the standards upon which employees are evaluated.

Accordingly, ***Evaluating Supervisors are responsible for ensuring assigned staff are rated during their PES Evaluation based on the following mandatory expectations, which must be included in the PES planning as follows:***

1. Behavior Expectations For All OLG/DCRT Classified Employees:
 - a. Complies with all aspects of PPM #42, Attendance and Leave Policy, including but not limited to accurately recording work/leave hours on time sheet; consistently reporting to work on time; and requesting and receiving approval for leave and overtime in advance.
 - b. Independently follows through on your assigned tasks to completion and reports results to your supervisor without undue oversight; immediately

- notifies supervisor when problems arise.
- c. Is receptive to the ideas, suggestions and constructive feedback of your supervisor and others.
 - d. Maintains good working relationships and a spirit of teamwork in your interactions with agency personnel.
 - e. Willingly accepts new assignments, special projects and changes in procedures.
 - f. Expresses any concerns to your supervisor in a respectful and calm manner.
 - g. Provides effective, courteous and timely service to both internal and external clients.
 - h. Effectively conveys information verbally and in writing;
 - i. Utilizes correct spelling, punctuation and proper grammar for all written communications; proofreads such correspondence so as to prevent avoidable errors.
 - j. Responds to questions with accurate, concise and relevant information.
 - k. Maintains a courteous and professional demeanor in all communications.
2. Work Expectations For All Supervisory Employees:
- a. Complies with all requirements relative to the Performance Evaluation System (PES) and OLG/DCRT's PPM #10.
 - b. Recognizes when to make a decision independently and when to consult your supervisor or other staff.
 - c. Keeps staff informed of all laws, procedures or programs pertinent to operations; quickly institutes appropriate changes to procedure forms, work flow, etc., mandated by higher authority.
 - d. Consistently and evenly enforces all rules, regulations and standards relative to employee performance and behavior.
 - e. Maintains the confidentiality of human resources and/or other sensitive information.
3. Work Expectations for All Employees Serving as Authorized P-Card Holders and/or Approvers:
- a. Adheres to all LaCarte Purchasing program guidelines and Cardholder Agreement Form in utilization of P-card and/or approval of purchases.
 - b. Completes annual mandatory training related to LaCarte P-card holder and/or approver status.

VIII. AGENCY REVIEW

A permanent status 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, as designated by the employee's Appointing

Authority. The Agency Reviewer shall not be either the Evaluating Supervisor or the Second-level Evaluator who signed the evaluation being reviewed.

The Agency Review process is as follows:

- a. The employee submits a written request for an Agency Review to the Human Resources Division postmarked or received no later than September 15 following the evaluation year. The employee must explain and provide supporting documentation for the request for review.
- b. If the request is not timely, it may be dismissed by the Appointing Authority without further review.
- c. If timely, the Agency Reviewer must review the employee's request, the evaluation given and any supporting documentation provided. The Agency Reviewer must also discuss the contested evaluation with the employee and Evaluating Supervisor.
- d. The Agency Reviewer shall give the employee, the Evaluating Supervisor and the Human Resources Division written notice of the results of his/her review. This notification shall be provided no later than October 15. Any change in the evaluation shall be retroactive to July 1.
- e. All documentation related to the Agency Review, including any supporting records provided by the employee and/or Evaluating Supervisor, must be maintained in the employee's personnel file in the Human Resources Division.

NOTE: Employees who are on a probational or job appointment, and/or those that received a "Not Evaluated," "Successful," or "Exceptional" evaluation are not eligible to request an Agency Review.

IX. MANDATORY TRAINING

All classified supervisors must complete the following three (3) e-learning courses through the Louisiana Employees Online (LEO) system:

- CPTP PES Basics (15-20 minutes)
- CPTP PES Planning Process (45-60 minutes)
- CPTP PES Evaluation Process (45-60 minutes)

New classified supervisors will be required to complete these same courses within 90 days of hire or promotion/appointment to the supervisory position.

X. CONSEQUENCES

A. Performance Adjustments

An employee who is in active status as of June 30 of the performance evaluation year is eligible for, and may be granted (provided that Civil Service

Rules and Department budget permit), a performance adjustment, effective October 1, *unless*:

1. An employee receives an official overall performance evaluation of “Needs Improvement/Unsuccessful;” or
2. The employee is an Evaluating Supervisor who fails to administer the performance evaluation system in accordance with Civil Service Rules; or
3. The employee is a Second-level Evaluator who fails to administer the performance evaluation system in accordance with Civil Service Rules.

The aforementioned employees shall not be eligible for a performance adjustment for that year.

B. Needs Improvement / Unsuccessful Evaluation

In addition to ineligibility for a performance adjustment, those employees whose official evaluation is “Needs Improvement/Unsuccessful,” shall not be eligible for: promotion; permanent status; detail to special duty (without approval by the Director of Civil Service); or upward reallocation in a career progression group (CPG).

XI. QUESTIONS

Questions regarding this policy should be addressed to the Human Resources Division.

Summary of Changes: Revised policy number (December 1, 2011); updated to reflect Civil Service Rule changes from the PPR to PES systems, added Department-specific requirements – including standard mission statements, work and behavior expectations, need to submit post office receipt when PES is mailed to employee, and ineligibility for CPG reallocation if evaluation is Needs Improvement/Unsuccessful (July 1, 2012); excluded classified WAE’s from applicability, added department-imposed deadlines for submission of performance evaluations and plannings to HR, re-sequenced order of required signatures based on 1/2014 revision to PES form (March 3, 2014); Subdivided Work and Behavior Expectations section into three groups (all classified employees, all supervisory employees, all P-card holders and/or approvers), added mandatory expectations related to P-card holders and/or approvers (October 13, 2015).