

Louisiana



State Civil Service

# **Performance Evaluation System**

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## Overview

### What is the PES?

**Y**our agency is charged with rendering certain services to the public, which it accomplishes through its employees, supervisors and 2<sup>nd</sup> level evaluators, through the agency's strategic planning process, and through the agency's rules, policies, and standards for work performance as well as work behavior.

It is important for your employer to effectively communicate to you the work that you are expected to accomplish, your job duties, how these are linked to the agency's mission and goals, and what standards you are expected to meet in work performance and behavior on the job.

This communication should occur between you and your supervisor throughout the year. The State Civil Service rules require that your supervisor provide you with this information in written form at least once each year through the State's Performance Evaluation System.

You should have the opportunity to discuss with your supervisor his/her expectations of you, in order to clarify anything that needs to be made clear and to ensure that you fully understand what is expected of you. At least once a year, you will receive a written performance evaluation. For further information regarding your agency's performance evaluation process, please contact your agency Human Resources Office. Agencies are required to use [Chapter 10](#) of the Civil Service Rules for planning and evaluating employee performance. The Chapter 10 rules on PES clearly provide for a 3-level evaluating system.

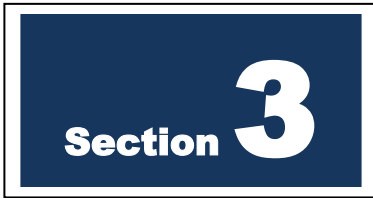
Agencies must use the 3-tier evaluating system described in Chapter 10 of the rules. Our standard recommendation is that supervisors provide written comments to support any evaluation given but the rules require documentation for an evaluation of "Needs Improvement/Unsuccessful" or "Exceptional". This required documentation must be attached to the PES form.

**Section 2**

**Timeframes**

**WHAT is due and WHEN is it due?**

Performance Evaluation YEAR	July 1 <sup>st</sup> – June 30 <sup>th</sup> <i>(of each year)</i>
Performance Planning	July 1 <sup>st</sup> – September 30 <sup>th</sup> <i>(of each year)</i>
Performance Evaluation	July 1 <sup>st</sup> – August 31 <sup>st</sup> <i>(of each year)</i>
Effective date of Evaluation	July 1 <sup>st</sup> <i>(of each year)</i>
Effective date of Performance Adjustment	October 1 <sup>st</sup> <i>(of each year)</i>
Deadline to request an Agency Review	September 15 <sup>th</sup> <i>(of each year)</i>
Deadline for Agency to render decision	October 15 <sup>th</sup> <i>(of each year)</i>
Deadline to request a C.S. Director’s review	<b>10</b> calendar days from the date the Agency Reviewer rendered the decision to the employee.
Deadline for C.S. Director to render decision	<b>30</b> calendar days from the time they receive the PES file from the agency’s HR Director.



## PES Roles

### Role of the Evaluating Supervisor

10.2 of the State Civil Service Rules outline the responsibilities of an Evaluating Supervisor when utilizing the PES system. The Evaluating Supervisor is required to plan with the employee, document that planning provide performance feedback throughout the performance year and evaluate the employee’s performance. Also, all evaluating supervisors are required to take the mandatory PES supervisors training. PES is a vital role for all supervisors as it will significantly impact an employee’s success in his/her work life.

Effective December 14, 2012 (See [General Circular](#)), all Evaluating Supervisors who do not fully comply with the requirements of Chapter 10 for their designated employees will not be eligible to receive a performance adjustment. Therefore, the PES system has an even greater effect on the success of a supervisor. An evaluating supervisor will not be eligible for performance if he has not completed the planning, documenting and evaluating requirements of the PES system for his designated employees.

### Role of the 2<sup>nd</sup> Level Supervisor

10.3 of the State Civil Service Rules outline the responsibilities of the 2<sup>nd</sup> Level Evaluator when utilizing the PES system. The 2<sup>nd</sup> level evaluator must approve the performance plan and performance evaluation prepared by the Evaluating Supervisor before it is rendered to the employee for signature. The 2<sup>nd</sup> level Evaluator shall be responsible for administering the performance evaluation system in accordance with these Rules and any applicable agency policy. A 2<sup>nd</sup> level Evaluator who fails to administer the performance evaluation system in accordance to these Rules shall not be eligible for a performance adjustment for that year.

### Role of the Appointing Authority

The Appointing Authority of each agency shall:

- Designate an Evaluating Supervisor for each employee
- Designate a 2<sup>nd</sup> Level Evaluator for each employee
- Designate an Agency Reviewer(s) or an Agency Review Panel
- Determine how “Not Evaluated” is to be used in their organization (internal process)
- Annually report to the Civil Service, in such manner as the Director prescribes

## Role of the Agency Reviewer(s) or Review Panel

Per Civil Service Rule 10.11, the Agency Reviewer(s) is charged with reviewing the employees PES form and supporting documents, requesting any additional documentation they feel is needed to understand or clear up any concerns. After looks at all the documents and meeting with both the Evaluating Supervisor and the employee (doesn't need to be at the same time) this is when a decision can be rendered. Based on the information, the Reviewer may either overturn the evaluation rendered by the supervisor and by doing so you would then assign the employee an overall evaluation of; Unrated, Needs Improvement/Unsuccessful, Successful or Exceptional. Another option is to affirm the evaluation given by the supervisor.

Per Civil Service Rule 10.11 (f), The Agency Reviewer(s) 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 15<sup>th</sup>. Any change in evaluation shall be retroactive to July 1<sup>st</sup>.



## PES Suggestions

### Employee

- Keep your own Kudo file and give it to your supervisor before evaluation time.
- The performance year is considered July 1<sup>st</sup> – June 30<sup>th</sup> of each year.
- Planning should occur between the supervisor and employee beginning July 1<sup>st</sup> and ending on September 30<sup>th</sup> of each year.
- Evaluations should occur between supervisor and employee beginning July 1<sup>st</sup> and ending on August 31<sup>st</sup> of each year.
- Be aware if you have not received an evaluation on or before August 31st, your official rating will be “Un-Rated”. You do not have to wait to be notified that your evaluation was an Un-Rated; you can go on and Request a Review if you wish to. There is a form on the C.S. website that you can use for this purpose. Either way, your Request for Review must be received by September 15<sup>th</sup>.
- A permanent employee can only request a review of a PES evaluation if they receive an evaluating of “Needs Improvement/Unsuccessful” or “Unrated”.
- You may be eligible for a performance adjustment with an effective date of July 1<sup>st</sup> if you receive a “Exceptional”, “Successful”, “Unrated” or “Not Evaluated”.
- If you are requesting a review you need to explain why you disagree with the evaluation given to you by your supervisor.
- Request informal feedback throughout the year from your supervisor, especially if there are areas in which you personally are trying to improve.

## Evaluating Supervisor

- Provide a copy of position description to the employee as a reference.
- Help the employee understand how their jobs connect with the agencies goals and mission.
- Explain to the employee that they will be held responsible for all aspects of their job when your evaluating—not just the planning expectations. (ex. Position description, policies and procedures manual, training manual, all verbal and written communications regarding job duties.)
- Have the employee keep their own "Kudo" file.
- Conduct planning updates and informal evaluation sessions throughout the performance year.
- Communicate, Communicate, Communicate throughout the year.
- Document that communication took place.
- Remember that the employee is being evaluated for the entire performance year. Don't lose sight of this and only consider the performance of the past few months prior to evaluation time.
- Get the 2<sup>nd</sup> Level Evaluators approval on both the Planning and the Evaluation prior to meeting with the employee.
- Do not wait until the last minute to evaluate an employee.
- Get your form completed, sessions conducted, and forms into your H.R. office well ahead of internal deadlines. That way, if there are problems with your forms, H.R. may have time to return them to you for corrections before the Chapter 10 deadline.
- Conduct "unofficial" closeout ratings if an employee leaves your supervision and it isn't within the window of opportunity for the official rating; conduct an official rating if it is within the window of opportunity for rating.
- When you have questions, get with Human Resources for assistance.
- When it is discovered that an employee did not receive a "formal" planning between July 1<sup>st</sup> and September 30<sup>th</sup>, it is encouraged that the supervisor meet with the employee at that time to communicate expectations. This will not take the place of the "formal" evaluation that is required by Civil Service Rule 10.5.

## Agency Reviewer(s)

- The Appointing Authority can serve as the designated agency Reviewer in response to an employee's Request for Review of a PES Evaluation, or shall designate one or more persons to serve in the role of Designated Reviewer or Agency Panel.
- If your agency names several individuals to serve on an Agency Review Panel, at least one person must be named as the Designated Reviewer and should be the individual to sign the Request for Review document.
- The Designated Reviewer shall interview/discuss the evaluation with the employee and the Evaluating Supervisor. This does not have to be done at the same time. The

meeting must be documented in Step 2 on the Request for Review form. If this is not possible due to extenuating circumstances, contact your Human Resources office for recommendations on handling this issue. They may contact Civil Service if necessary.

- Sometimes non-PES issues come to the attention of the Reviewer in the Review process. The Reviewer, as appropriate, can certainly bring these issues to the attention of the Human Resources office or Appointing Authority. It is not appropriate to address those in the PES review, even if the employee has included them in the Request for Review.
- There are some rule violations that would automatically signal to a Reviewer that a rating should be overturned. Please refer to Civil Service Rule 10.7 for the definition of a compliant rating. (For example, no signatures affixed, rating done outside the window of opportunity.)
- Then there's the violation of another rule—no planning session conducted. What to use in the absence of a planning session, to rate an employee? Position descriptions, policies and procedures manual, training manual, other communications, documentation from the rating period, Supervisory notes and/or emails. It is possible to conduct a valid rating session in the absence of a planning session.



# Section 5

# Forms

## PES (get a copy)

Employee Information	
Dept/Office/Section/Unit: _____	Employee Personnel #: _____
Employee Name: _____	Performance Year: _____
Employee Title: _____	Evaluation Period: _____
<b>Overall Evaluation:</b> <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	Evaluation Session
Date the Planning Session was Conducted: _____	Date the Evaluation Session was Conducted: _____
Second Level Evaluator Signature: _____	Delivery: <input type="radio"/> Hand <input type="radio"/> 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)	
Date: _____ Employee/Supv Initials: _____	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: _____	
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: _____

## Request For Review (get a copy)

**STEP 1: PERFORMANCE EVALUATION-REQUEST FOR AGENCY REVIEW**

CS, Rule 10.11 (e) If permanent employees who receive an overall performance evaluation of "Unrated" or "Needs Improvement/Unsuccessful" may request a final review of the evaluation and general comments. CS, Rule 10.11 (e) A request for review must be submitted in writing and be postmarked or dated in the employing agency's official calendar on September 15<sup>th</sup> following the evaluation year.

EMPLOYEE INFORMATION (Permanent Employees Only)	
Dept/Office/Section/Unit:	Date Submitted to HR:
Employee Name:	Personnel #:
Home Address:	
Employee Title:	Performance Year: 7/1/____ - 6/30/____
PES Rating Received: <input type="checkbox"/> Needs Improvement/Unsuccessful	<input type="checkbox"/> Unrated
Explain why you disagree with the rating given to you by your supervisor and attach supporting documents (if applicable):	
<i>All supporting documents must be attached to this form at the time you submit your request.</i>	
HUMAN RESOURCE USE ONLY	
Confirm Employee's Rating: <input type="checkbox"/> Needs Improvement/Unsuccessful <input type="checkbox"/> Unrated	<input type="checkbox"/> The Request was not received or postmarked by September 15 <sup>th</sup> and is not compliant according to C.S. Rule 10.11(d) (Sign/Date provide employee copy and file)
Date Received in Human Resources: _____	
All elements of Step 1 are complete. Sign/Date/provide email address, then move to Step 2 on the next page.	
Human Resources Officer Signature _____ Date _____	
HR Officer's email Address: _____	

## Performance Development Tool ([get a copy](#))

## Performance Notes ([get a copy](#))



## FAQs

### ***What is the time period for the start of the PES system?***

- Planning's are to be completed between 7/1/12 – 9/30/12 of each year
- Evaluations are to be completed between 7/1/13 – 8/31/13 of each year
- Effective date of overall evaluations 7/1/13
- Disbursement date of performance adjustments 10/1/13

### ***Are planning sessions required for employees on detail to special duty?***

- No, per C.S. Rule 10.5(f)(2) states only permanent movement into a position having a different position number with significantly different duties. The supervisor may choose to do a planning.

### ***Can an employee who receives an "Unrated" request a Director's review?***

- No, the Director's review is only for those employees who received an overall evaluation of "Needs Improvement/Unsuccessful" following an Agency Review.

### ***How does a supervisor submit the planning and evaluation to Human Resources?***

- Agencies will set up internal processes that will spell out this process along with internal timeframes/deadlines that each is due.

### ***Who is considered the 2<sup>nd</sup> level evaluator?***

- The Appointing Authority of each agency designates an evaluating supervisor for each employee.

### ***Who is considered the Agency Reviewer(s)?***

- The Appointing Authority of each agency designates the Agency Reviewer(s) ore Agency Review Panel. The Reviewer(s) shall not be either the evaluating supervisor or 2<sup>nd</sup> level evaluator who signed the evaluation being reviewed.

### ***Does Civil Service need to review the agency policy?***

- C.S. doesn't require an agency to have a policy. If you do have a policy C.S. doesn't need to review unless you are asking for an exception to the rule.

***Are you required to provide supporting documentation when evaluating an employee?***

- Documentation is always good to have to support any evaluation (attached or documented on the PES form) but when rating an employee “Needs Improvement/Unsuccessful” documentation must be included.

***Can you be re-rated in the PES system?***

- There are no provisions for re-rating in the PES System

***If a supervisor feels during any point in the evaluation year that a new planning needs to be done can they?***

- Yes, we encourage the supervisor when significant duties or new projects that will affect the employee’s day to day operations change to meet with the employee and communicate those new expectations with them.

***Do both the evaluating supervisor and the 2<sup>nd</sup> level evaluator have to meet with the employee for the planning/evaluation?***

- No, the rule only requires that the supervisor meeting with the employee but both must sign off on the planning & evaluation prior to the employee receiving it.

***When to use the rating of “Not Evaluated”?***

- The rating of Not Evaluated is given when an employee is active as of June 30<sup>th</sup>, the end of the performance year, and the employee has worked less than 3 months at the evaluating agency within the performance year, and the appointment authority determines that not enough time has elapsed to create an evaluation for the employee.

***When does an employee become eligible for a performance adjustment?***

- An employee who receives an overall Exceptional or Successful evaluation will become eligible for a performance adjustment on July 1<sup>st</sup>.

***When supervisors and 2<sup>nd</sup> level evaluators don’t comply with ALL components of the Chapter 10 rules, are they eligible for a performance adjustment?***

- No, C.S. rule 10.2(b) and 10.3(b) indicated they are responsible for administering the performance evaluation system for his designated employees in accordance with these Rules and if they fail to do so they shall not be eligible for a performance adjustment for that year.

***When supervisors don’t establish a performance plan for employees, does that make the evaluation rendered a fatal flaw and it should be changed to “Unrated”?***

- No, while the rules say the supervisor “shall” establish a performance plan and the plan “shall” be signed by the 2<sup>nd</sup> level evaluator, the employee can still be given an evaluation based on observation of work and position description duties. The supervisor should establish a plan as soon as it is discovered that none was done and evaluate based on that plan. In this scenario, the supervisor and 2<sup>nd</sup> level evaluator loses eligibility for a performance adjustment because the plan was not established timely and the system was not administered as required by rule.

***If a supervisor establishes a plan but the 2<sup>nd</sup> level evaluator does not sign, does this make the evaluation at the end of the year a fatal flaw and should the rating be changed to “Unrated”?***

- No, the supervisor is in compliance with the rule. The supervisor, however, should remain in contact with the 2<sup>nd</sup> level evaluator to get signature prior to the planning deadline. If the 2<sup>nd</sup> level evaluator refuses to comply, the supervisor should report this to HR for further action. The appointing authority would then determine next steps (assign a different 2<sup>nd</sup> level evaluator, instruct the 2<sup>nd</sup> level evaluator to comply with his responsibilities, etc.). In this scenario, the supervisor would be considered in compliance but the 2<sup>nd</sup> level evaluator may not and may risk performance adjustment eligibility.

***If you have a question that is not included in this list of Frequently Asked Questions please contact your agencies Program Assistance Coordinator.***