


# Employee Performance Evaluation System

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	<b>Louisiana Department of Health (LDH)</b>	
	<b>Policy Number</b>	33.3
	<b>Content</b>	LDH policy on evaluation of work performance of classified employees
	<b>Effective Date</b>	February 1, 2023
	<b>Inquiries to</b>	Office of Management and Finance Division of Human Resources, Training and Staff Development P. O. Box 4818 Baton Rouge, Louisiana 70821-4818 (225) 342-6477 FAX: (225) 342-6892

LDH is committed to fostering, cultivating and preserving a culture of equity, diversity and inclusion. Our human capital is the most valuable asset we have. The collective sum of the individual differences, life experiences, knowledge, inventiveness, innovation, self-expression, unique capabilities and talent that our employees invest in their work represents a significant part of not only our culture, but our Department's reputation and achievement as well.

If there is a discrepancy between an LDH Policy and a Program Office or facility policy, the LDH policy shall govern/override/supersede the conflicting section within the Program Office or facility policy.

## I. STATEMENT OF POLICY

### A. Purpose

1. The purpose of the Performance Evaluation System is to improve communication and feedback between an employee and their supervisor and to ensure that every eligible employee is formally evaluated at least once each year and that each classified employee receives their official performance evaluation in a timely manner.

2. The Louisiana Department of Health (LDH) follows a focused date for performance evaluations in an effort to improve agency performance by establishing clear, well-defined performance expectations for employees that are clearly aligned with LDH's goals and strategic initiatives.
3. Individual employee evaluations will be based on the employee's contributions towards the accomplishment of LDH goals and strategic initiatives. The performance evaluation period for all employees, unless otherwise noted, will be from July 1 through June 30 each year.

B. Statutory or Regulatory Authority

Chapter 10, Performance Evaluation System of the Civil Service Rules promulgated in accordance with Article X of the Louisiana State Constitution, and Civil Service Manual Part 12.

1. According to Civil Service Rule 10.10 (a), completed performance evaluation forms "must be available upon request to the Department of Civil Service for auditing purposes, to other agencies of the State of Louisiana for purposes of checking employment references and to the employee."
  - a. To request a copy of their annual performance evaluation, an LDH current or former employee should submit their request in writing to the human resources office.
  - b. Upon receipt of the written request, Human Resources shall advise the current employee or former employee when the performance evaluation is ready for pick-up.
  - c. The current employee or former employee shall provide confirmation of their identity to the human resources office when picking up the requested annual performance evaluation.
  - d. An LDH current or former employee requesting a copy of their completed mid-year review should contact their current or former supervisor.
2. To request an LDH employee's completed performance evaluation for purposes of checking employment references, the agency's Human Resources office should send an email to Ms. Jodie Carlin, Compensation Manager, at [Jodie.Carlin@la.gov](mailto:Jodie.Carlin@la.gov).

## II. DEFINITIONS

**Agency** – for purposes of this policy, “agency” refers to one of the Personnel Areas within LDH

**Annual Planning Period**—occurs annually from July 1 through September 30. During this period, Evaluating Supervisors must conduct planning sessions for all of their employees.

**Annual Evaluation Period**—occurs annually from July 1 through August 31. During this period, Evaluating Supervisors must conduct evaluation sessions for all of their employees.

**Appointing Authority** – an officer or employee authorized by statute or lawfully delegated authority to make appointments to positions in the State Service.

**Classified Employee**—all employees regardless of their employment status and includes employees on restricted, probational, permanent, and job appointments.

**Designated Reviewer**—the Appointing Authority over the office to which the position is assigned or their designee and the only person within the agency who may change an official overall evaluation. If an office does not have an Appointing Authority, the Designated Reviewer is the Secretary or the Secretary’s designee. The Evaluating Supervisor or Second Level Supervisor may not serve as the Designated Reviewer.

**Evaluating Supervisor**—the person with authority to establish, discuss, and sign expectations; evaluate the employee’s performance; and sign the LDH Performance Evaluation System (PES) form.

**LDH Mid-Year Review**—occurs annually from January 1 through January 31. During this period, Evaluating Supervisors must conduct Mid-Year Reviews for all of their employees. New hires/transfers with no official evaluation on file shall receive a Mid-Year Review during this period.

**Official Evaluation**—the signed annual evaluation given to an employee between July 1 and August 31 each year.

**Performance Evaluation Period**—the period for which employees’ work performance is reviewed; from July 1 through June 30 annually.

**Second Level Evaluator**— determined by the appointing authority; may be the direct supervisor of the evaluating supervisor, a peer of the evaluating supervisor, or some other higher-level manager with knowledge of the employees being evaluated.

**Second Level Supervisor**—the supervisor of the evaluating supervisor.

**Un-Rated**—the status of an employee who meets any of the following criteria:

- A. was not officially evaluated during the evaluation window of July 1 through August 31.
- B. whose official overall evaluation was not compliant with the Civil Service Rules for Performance Evaluation System.

### **III. RESPONSIBILITIES**

- A. The Secretary will ensure implementation and administration of the Performance Evaluation System Program in accordance with Civil Service Rules and LDH Policy. In doing so, the Secretary will do the following:
  - 1. Lead by example to improve performance through communication and feedback between employees and supervisors.
  - 2. Ensure that consequences for noncompliance of the policy, procedures, or rules by supervisors are imposed.
- B. Each Appointing Authority will ensure that the Performance Evaluation System Program is fairly, equitably, and timely implemented in all areas within their scope of authority, and they may designate as many Designated Reviewers as necessary to effectively and timely manage the PES Program within their office. To accomplish this, the Appointing Authorities will do the following:
  - 1. Support the Secretary in striving to improve performance and encouraging communication and feedback between employees and supervisors.
  - 2. Monitor compliance of the Program's policy and procedures and ensure that supervisors are accurately evaluated based on their performance evaluation abilities.
  - 3. Ensure that evaluations are conducted timely.
- C. The Second Level Supervisor is responsible for the following:
  - 1. Ensure that all evaluation and planning sessions are conducted in a timely manner.
  - 2. Promote an atmosphere conducive to communication between the Evaluating Supervisor and the employee.
  - 3. Be alert to biases, unfairness, and partiality.

4. Should discuss and come to an agreement with the Evaluating Supervisor on changes to job expectations or evaluations that may be needed.
  5. Observe and document the Evaluating Supervisor's performance throughout the evaluation period and provide frequent feedback.
  6. Maintain documentation on the thoroughness, timeliness, and effectiveness of the Evaluating Supervisor's performance evaluation abilities. These files are confidential and may not be disclosed to the public.
  7. If the Evaluating Supervisor is unavailable, the Second Level Supervisor will conduct the planning or evaluation session. The Evaluating Supervisor may not serve as the Designated Reviewer.
  8. The Second Level Evaluator is responsible for reviewing and signing off on the Evaluating Supervisor's evaluation of the subordinate employees.
- D. The Designated Reviewer shall complete the Step 2 of the State Civil Service PES Request for Review form, and is responsible for the following:
1. Review all requests for review of an official evaluation.
  2. Gather and review pertinent information as needed and as provided in Civil Service Rule 10.11, including conducting investigations into areas of dispute.
  3. Discuss the contested evaluation with the employee and the Evaluating Supervisor, but not necessarily at the same time.
  4. Complete the Request for Review Acknowledgement Form (HR-55) and send a decision letter and the HR-55 to the employee and evaluating supervisor. If the review results in a change in the overall evaluation, a copy of the updated PES form and the PES Request for Review form must accompany the decision letter and HR-55. A copy of all review documentation must be submitted to Human Resources for record keeping purposes or responding to Civil Service Director Reviews.
- E. The Evaluating Supervisor is responsible for maintaining up-to-date position descriptions and timely development of job specific expectations for all employees holding positions under their direction as follows:

1. Review My Employees in LEO to ensure LaGov HRM has the correct reporting relationships.
  2. Ensure that all official evaluations and planning sessions are conducted in a timely manner.
  3. Provide an atmosphere conducive to two-way communication with their employees throughout the evaluation period.
  4. Encourage employees to actively participate in setting their own performance expectations and discuss and come to agreement with employee on changes in job duties and job expectations, making appropriate notations on the performance expectations.
  5. Observe and document employee performance throughout the evaluation period, set deadlines, check progress, and provide frequent feedback.
  6. Conduct mid-year review and informal reviews throughout the evaluation period as needed.
  7. Maintain a confidential performance and productivity file on each employee, which may not be disclosed to the public.
  8. Identify employee proficiencies and deficiencies, provide constructive feedback, assist employees in need of improvement, and seek appropriate training for employees based on their needs.
  9. Complete and discuss performance expectations as provided in Section V.B and V.C.
- F. If the Evaluating Supervisor is unavailable, the Second Level Supervisor will conduct the planning or evaluation session. The Evaluating Supervisor may not serve as the Designated Reviewer.
- G. Employees are responsible for striving to meet the expectations set for the position they occupy as follows:
1. Actively participate in the planning session by asking questions, making suggestions, and contributing items to their productivity file that are pertinent to the evaluation of their job performance.

2. During the official evaluation discussion, carefully review the performance comments and ask questions, make suggestions, and contribute to the discussion.
  3. If desired, timely request a review of the official evaluation or lack of an evaluation (Un-Rated) as provided in Sections XI and XII.
- H. The Human Resources Director is responsible for processing and monitoring the Performance Evaluation System (PES) Program for compliance with Civil Service Rules and LDH Policy as follows:
1. Ensure that agency officials, directors, supervisors, and employees are aware of the PES Program's objective and provisions.
  2. Ensure that the Human Resources staff assists supervisors with any problems encountered with the PES Program.
  3. Ensure that appropriate records are maintained to document appeals of official evaluations.
  4. Ensure that a copy of an employee's written disagreement of an evaluation is placed with all known copies of the employee's official overall evaluation.
  5. Ensure that random audits of the PES Program are performed to verify the following:
    - a. Position descriptions are reviewed and discussed with the employee.
    - b. Position descriptions are updated when appropriate.
    - c. Expectations for each employee have been defined as required.
    - d. Planning session was conducted within 3 calendar months from the hire date.
    - e. Specific notes regarding performance are being documented for each employee throughout the evaluation period.
  6. Promptly provide a copy of page one of the PES Form to the Director of Civil Service for all official evaluations that have an overall evaluation of Needs Improvement/Unsuccessful.

7. Change evaluations not properly given to an employee to Un-Rated, maintains records and provides timely notice to the employee and their Director that the official evaluation is Un-Rated, and advising the employee of their right to a review.
8. Ensure official evaluation statistics are reported to Civil Service each year, as required.

#### **IV. PERFORMANCE PLANNING SESSION**

- A. The Evaluating Supervisor must conduct a planning session with each eligible employee no later than the following dates, depending on the circumstances:
  1. New employees—during the first 3 calendar months after the appointment.
  2. Current employees—September 30 of each year.
  3. Transfer of an employee into a position having a different position number and significantly different duties—during the first 3 calendar months after the transfer.
  4. When there is a change in expectations
- B. Expectations for Performance shall be developed as follows:
  1. Expectations must be developed for at least one work task and one behavior on the PES Form.
  2. Expectations must be developed for each of the Four Square focus areas on the PES Form (Big Bets).
  3. Departmental standard expectations have been set for Performance Management on the PES Form for all supervisory personnel. These expectations should be part of the People Development focus area. The evaluating supervisor may develop additional expectations.
  4. Supervisors may use the PES Performance Development Form to address areas of weaknesses and identify improvement opportunities.
- C. Performance expectations



1. Before writing performance expectations, the Evaluating Supervisor should review the position description to ensure that it conveys an accurate description of the position's job duties or, in the case of an employee on restricted, job, or provisional appointment, review the list of duties assigned at the time of hire. Any adjustments should be done before setting expectations.
2. Departmental standard expectations are included for the Performance Management task for supervisors. However, individual expectations should be added that are specific to each employee's knowledge, skills, abilities, proficiencies, and to their responsibilities in meeting agency initiatives. Expectations should be written at the Successful level.
3. Generic expectations established for a job class may be used as the base expectations. However, individual expectations should be added that are specific to each employee's knowledge, skills, abilities, proficiencies, and to their responsibilities in meeting agency initiatives. Expectations should be written at the Successful level.
4. The supervisor and the employee must discuss the performance expectations for the upcoming evaluation period. Expectations should be clearly explained to the employee.
5. The Evaluating Supervisor and the employee must sign and date the Planning Session section of the PES Form. A copy of the signed form must be given to the employee and the original placed in the employee's productivity file. A copy of page 1 of the planning document must be submitted to Human Resources by September 30, or the first working day thereafter.

## **V. CONTINUOUS REVIEW**

- A. Evaluating Supervisors must regularly and routinely observe the performance of subordinates throughout the evaluation year. Performance should be documented and feedback provided to the employee on both exceptional and needs improvement/unsuccessful performance ratings. When needed, counseling, coaching, or additional training should be provided to employees who are not meeting performance expectations. Supervisors should use the

following useful tools provided by the State Department of Civil Service to document employee performance (click on the links below):

[Performance Evaluation System Interim Discussion Form](#)

[Performance Evaluation System Performance Development Tool](#)

[Performance Evaluation System Performance Notes](#)

- B. Each Evaluating Supervisor is required to meet with each of their subordinates individually between January 1 through January 31 each year, at the mid-point of the evaluation period, to informally discuss and review performance. Unacceptable performance should be addressed and, if appropriate, a disciplinary process initiated.
- C. The Informal Mid-Year Review Form is used to document this discussion and should be maintained in the employee's productivity file.

## **VI. PERFORMANCE EVALUATION**

**The following provisions are mandated by Chapter 10 of the Civil Service rules, and a rating supervisor's failure to adhere to any of these provisions may result in a violation of the Civil Service rules.**

- A. Evaluating Supervisors must complete the PES Form in accordance with annually established guidelines and due dates. Evaluations will be issued no earlier than July 1 and no later than August 31 each year. Employees evaluated before July 1 or after August 31 will be considered Un-Rated. Evaluation timeline guidelines are: 1st level evaluators should complete their evaluation no later than July 20; 2nd level evaluators should review the evaluations no later than July 30; discussions with the employee should occur after the 2<sup>nd</sup> level evaluator has reviewed, and then signed PES forms are due in HR by August 15.
- B. Employees who transfer from other agencies and are active with LDH on June 30 must be evaluated during the evaluation period. This can be done on the PES Transfer Form.
- C. Detailed, specific examples and documentation must be included when an evaluation of Needs Improvement/Unsuccessful or Exceptional is assigned.
- D. The Evaluating Supervisor must complete the evaluation on the original PES Form.

- E. The Evaluating Supervisor must complete all of the following:
  - 1. Discuss the official evaluation with the employee.
  - 2. Present the form to the employee for their signature.
  - 3. Give the employee a copy of the signed evaluation form at the time of the evaluation.
- F. An evaluation becomes official when the PES Form is signed by the Evaluating Supervisor and given or mailed timely to the employee using a Certificate of Mailing.
- G. If an employee refuses to sign the PES Form, the Evaluating Supervisor will make a note on the form that the employee refused to sign and date it. The employee's refusal to sign does not affect the evaluation's validity.
- H. If an employee is not available for personal delivery, the completed official evaluation document shall be mailed to the employee on or before August 31.
- I. The Secretary may review any Performance Evaluation System form.

## **VII. EFFECTS OF AN UNACCEPTABLE EVALUATION**

- A. An unacceptable evaluation is an overall official rating of Needs Improvement/Unsuccessful.
- B. Employees who receive an unacceptable evaluation, as defined above will be restricted as follows:
  - 1. If probational, ineligible for attainment of permanent status.
  - 2. Ineligible for promotion, detail to a higher-level position, market rate adjustment, or reallocation in a career progression group.
  - 3. These restrictions will be in effect until the employee receives an acceptable evaluation.

## **VIII. CONSIDERATION FOR PERMANENT STATUS**

The employee's last evaluation/review, as well as the employee's behavior and performance during the 12-month period of employment, must be considered for permanent status.

## **IX. ABSENCE OF OFFICIAL EVALUATION**

- A. If an employee does not receive an official evaluation in accordance with this Policy, the employee will be given an official overall evaluation of Un-Rated on July 1 of the evaluation year.
- B. An employee may request a review of their Un-Rated status in accordance with Section XII.

## **X. REVIEW OF OFFICIAL EVALUATION**

- A. If a permanent employee disagrees with an official overall evaluation that is Needs Improvement/Unsuccessful, the employee may complete the State Civil Service PES Request for Review form and submit it to Human Resources for a review of the official overall evaluation as outlined in Civil Service Rule 10.11, which is available in the Human Resources Division or on the Civil Service website under Civil Service Rules.
- B. The written request for review must be postmarked or received in Human Resources no later than September 15, for a review of a July 1 evaluation.
- C. The request must explain in detail why the employee believes the overall evaluation should be higher and must include all supporting documentation that the employee wants to be considered.
- D. The Designated Reviewer must follow the directions on Step 2 of the State Civil Service PES Request for Review form to complete the review.
- E. The Designated Reviewer must discuss the reviewed evaluation with the Evaluating Supervisor and with the employee, prior to the Designated Reviewer making their review decision.
- F. The Designated Reviewer must complete the Request for Review Acknowledgement Form (HR-55) and send a decision letter, a copy of the State Civil Service PES Request for Review form, and the completed HR-55 to the employee and evaluating supervisor no later than October 15. Any change in the evaluation will be retroactive to July 1. If the review results in a change in the PES evaluation, a copy of the updated PES form must accompany other forms.

## **XI. REQUEST FOR REVIEW OF UN-RATED EVALUATION**

- A. The following procedures must be followed in requesting a review of an Un-Rated evaluation:

1. The employee must complete the State Civil Service PES Request for Review form and submit to Human Resources.
  2. The request must be received by the Human Resources Division by September 15.
  3. The request will be recorded by the Human Resources' staff and forwarded to the appropriate Designated Reviewer.
  4. The Designated Reviewer cannot take any action until the written request is timely received in Human Resources.
- B. The Designated Reviewer has until October 15 to ensure that the employee's evaluation is completed and ensure the official overall evaluation is issued. The evaluation shall have an effective date of July 1.
- C. The Designated Reviewer will report the request to the Evaluating Supervisor's supervisor to have the Un-Rated evaluation documented in the Evaluating Supervisor's productivity file to be reflected in their Performance Management factor.

## **XII. APPEAL TO CIVIL SERVICE DIRECTOR OF DESIGNATED REVIEWER DECISION**

- A. If a permanent employee disagrees with the Designated Reviewer's decision of an official evaluation, the employee may request that the Civil Service Director or the Director's designee review their PES file.
- B. An appeal under this Rule must be postmarked or received by the Civil Service Director within 10 calendar days after the date the employee received a copy of the Designated Reviewer's written decision with the Designated Reviewer's signature.
- C. In accordance with Civil Service Rules, the LDH Grievance Process may not be used to review or reconsider official evaluations or informal reviews.

## **XIII. RECORDKEEPING**

- A. Human Resources will maintain PES Forms and supporting documentation in a secure location and ensure confidentiality while the employee is active and for a minimum of six years after they leave LDH. The performance documentation (productivity/fact file) must include the following:

1. Position description including past and current updates.
  2. The PES Form listing expectations for the current evaluation period.
  3. Performance documentation sufficient to validate and justify the official overall evaluation.
  4. Past performance evaluations, if any, close-out evaluation, and supporting documentation.
- B. Supervisors should keep copies of their employee's performance evaluations in the employee's supervisory file.

#### **XIV. EXCEPTIONS**

The Secretary may make exceptions to this policy when it is deemed to be in the best interest of the Department. Exceptions shall not conflict with Civil Service rules.

#### **XV. VIOLATIONS**

Rating Supervisors must conduct their subordinates' official evaluations and planning sessions in a timely manner as described in this policy. Failure to do so may subject the rating supervisor to corrective action or disciplinary action and may be considered a violation of Civil Service rules. This violation and any other violations of this policy may subject employees to corrective action or disciplinary action. Corrective action includes Improvement Letters (Civil Service Rule 12.9), verbal counseling, documented counseling and reprimand. Disciplinary actions are Suspension without Pay, Reduction in Pay, Involuntary Demotion and Dismissal (Civil Service Rule 12.3). Any disciplinary taken is at the sole discretion of the Appointing Authority.

#### **XVI. REVISION HISTORY**

<b>Date</b>	<b>Revision</b>
November 14, 2003	Policy created
March 31, 2006	Policy revised
June 01, 2007	Policy revised
September 01, 2011	Policy revised
May 25, 2012	Policy revised
July 01, 2013	Policy revised
June 19, 2019	Housekeeping Changes
June 22, 2022	Policy revised
February 1, 2023	Policy revised
March 22, 2023	Policy updated – Section I.B (Page 2)

October 19, 2023	Policy updated – Section IV.B (Page 8)
February 21, 2024	Policy updated – Section V.A (Pages 9-10); Section VI (Page 10); Section XIII.A & B (Pages 13-14); Section XV (Page 14)