

LOUISIANA DEPARTMENT OF TRANSPORTATION AND DEVELOPMENT

SECRETARY'S POLICY AND PROCEDURE MEMORANDUM (PPM) NO. 55

SUBJECT: PERFORMANCE EVALUATION SYSTEM PROCEDURES

EFFECTIVE DATE: November 2, 1998

INSTRUCTIONS: This memorandum supersedes all other memoranda and manuals.

1. PHILOSOPHY

The Louisiana Department of Transportation and Development (DOTD) established this policy with the Department of Civil Service's approval. The "Department" (Agency) expects that each employee perform his/her responsible duties to the best of his/her abilities. This policy seeks to improve agency performance by establishing employee performance expectations that are clearly aligned with the agency's fiscal-year goals and by issuing performance evaluations based on the individual employee's contributions towards the agency's accomplishment of its goals. Unless otherwise noted, the performance evaluation period for all employees is from July 1 – June 30 of each year. However, evaluation sessions will take place after the close of the fiscal year, between July 1 and August 31.

2. PURPOSES OF PERFORMANCE EVALUATION SYSTEM (PES)

- A. Establish clear, well-defined, and measurable individual performance expectations, goals and accountabilities that are directly aligned with DOTD's fiscal year goals. [CS Rules 10.1(a) and 10.1(b)]
- B. Identify important performance factors for each employee's job that will contribute to DOTD's mission effectiveness. [CS Rules 10.1(a) and 10.1(b)]
- C. Encourage employees and supervisors to routinely, regularly, and candidly discuss work performance and thereby improve two-way communication and feedback between employees and supervisors. [CS Rules 10.1(a) and 10.1(b)]
- D. Evaluate employee performance on the basis of objective, written documentation maintained by each supervisor. [CS Rules 10.1(a), 10.1(b) and 10.4(a)]
- E. Hold supervisors accountable for addressing substandard performance through additional training and coaching or through the disciplinary process when an employee's performance remains unacceptable.

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3. PES PROCESS

A. Performance Planning Session

- (1) The Appointing Authority shall designate an Evaluating Supervisor and Second Level Evaluator for each employee. [CS Rules 10.2(a) and 10.3(a)]
- (2) A performance planning session shall be conducted for each classified employee (except a "When Actually Employed" (WAE) employee) as detailed below:
 - (a) during the first three (3) calendar months following the appointment of a new employee. [CS Rule 10.5(f)(1)]
 - (b) during the first three (3) calendar months following the permanent movement of an employee into a position having a different position number with significantly different duties. [CS Rule 10.5(f)(2)]
 - (c) at the beginning of the new performance evaluation year. The performance evaluation year begins July 1 and ends June 30 of the subsequent year. Planning and evaluation sessions shall be conducted no earlier than July 1 and no later than August 31. [CS Rule 10.5(f)(3)]
- (3) A performance planning session may be conducted when:
 - (a) an employee is assigned a new Evaluating Supervisor [CS Rule 10.5(g)(1)] or
 - (b) an employee's performance expectations change [CS Rule 10.5(g)(2)] or
 - (c) the Evaluating Supervisor believes a new planning session is necessary. [CS Rule 10.5(g)(3)]
- (4) The Evaluating Supervisor should review the employee's current position description (SF-3) at this time to determine whether it accurately reflects assigned duties and responsibilities or whether an updated position description should be prepared.
- (5) Each Evaluating Supervisor shall prepare written performance expectations based on specific goals and guidance provided by his/her District Administrator/Section Head. At least one Work expectation and one

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Behavior expectation is required. Evaluating Supervisors shall evaluate each employee on those Work and Behavior expectations required of the position. In addition, Evaluating Supervisors shall be evaluated on his/her administration of the performance evaluation system as required by Civil Service Rules. [CS Rule 10.5(a)]

- (6) The Initial Planning Session section of the Planning & Evaluation Form shall then be signed and dated by the Second Level Evaluator prior to the Evaluating Supervisor and the employee. Once approved/signed and dated by Second Level Evaluator, the Evaluating Supervisor shall personally discuss and clearly explain performance expectations for each factor to the employee. The Evaluating Supervisors and the employee shall sign and date the Initial Planning Session section to document that the planning session was conducted. The Evaluating Supervisor shall give the employee a copy immediately after the session and maintain a copy for his/her file. The original of the signed and dated Initial Planning Session section of the Planning & Evaluation Form shall be sent to Field/Headquarters Human Resources Office after conducting the planning session as part of the official evaluation. [CS Rules 10.5(b), 10.5(c), 10.5(d), and 10.5(e)]

- (7) The Evaluating Supervisor may complete the evaluation session for the prior fiscal year and the planning session for the current fiscal year at the same time. The evaluation shall be completed on the same PES form as the prior year's performance planning expectations, and the planning expectations for the current fiscal year shall be completed on a new PES form.

B. Continuous Review

- (1) Throughout the performance evaluation year, each Evaluating Supervisor should routinely and regularly observe the performance of his/her employees, document and provide feedback to employees on both commendable and unsatisfactory performance, and when necessary, counsel, coach or provide additional training to any employee who is not meeting expectations. Unacceptable performance should also be addressed through the agency's disciplinary process as provided in the DOTD Secretary's PPM No. 26.
- (2) Each Evaluating Supervisor should also maintain a performance file for each employee whose performance he/she evaluates. The file should contain a copy of the job description, documentation of employee performance and counseling or coaching sessions held, supervisory observations, employee work products, letters of counseling or disciplinary

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actions, input from others regarding the employee's performance, attendance records, structured training requirements, the PES form, and any other documents that the Evaluating Supervisor uses to evaluate the employee's performance. Performance documentation is not public record, and therefore, must not be kept in a publicly accessible file. In the event of an employee's request for a review of his/her evaluation, however, the Evaluating Supervisor will be required to provide this file to the Designated Reviewer within a reasonable amount of time.

- (3) Each Evaluating Supervisor may conduct mid-year review sessions with his/her employees each January to discuss and review performance thus far. Mid-year review documentation may be completed and signed by both the Evaluating Supervisor and the employee. If a mid-year review is conducted, the documentation should remain in the Evaluating Supervisor's documentation file. A copy of the document should be submitted with a close-out evaluation if the employee is assigned to a new Evaluating Supervisor during the performance year.

C. Performance Evaluation Session

- (1) Each Evaluating Supervisor shall conduct a performance evaluation in accordance with DOTD policy and Civil Service Rules for all classified employees. Evaluating Supervisors are not required to complete the PES process for WAE Classified or Unclassified Appointments. Each Evaluating Supervisor shall assign an "Exceptional", "Successful", or "Needs Improvement/Unsuccessful" evaluation to the employees' overall performance. Employees' official evaluations shall be rendered on or after July 1 but no later than August 31. Employees rated before July 1 or after August 31 will receive an evaluation of "Unrated." "Unrated" evaluations shall have the same effect as an evaluation of "Successful". [CS Rules 10.4(a), 10.6(a), 10.6(c), 10.7(a), 10.7(b), 10.7(c)(1) and 10.7(c)(2)]
- (2) An Evaluating Supervisor may issue a "Not Evaluated" Overall Evaluation for an employee when:
 - (a) the employee is active as of June 30, the end of the performance year [CS Rule 10.6(b)(1)], and
 - (b) the employee has worked less than three (3) months at the evaluating agency within the performance year [CS Rule 10.6(b)(2)], and

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- (c) the Appointing Authority determines that not enough time has elapsed to create an evaluation for the employee. [CS Rule 10.6(b)(3)] An Evaluating Supervisor shall complete the second page of the Planning and Evaluation Form for employees that have a "Not Evaluated" Overall Evaluation, including all the applicable signatures and dates for the Performance Evaluation Session.
- (3) The Evaluating Supervisor should use the employee's performance documentation file maintained throughout the year to complete the Evaluation Session of the Planning & Evaluation Form. The Evaluation Supervisor shall provide documentation to support an Overall Evaluation of "Needs Improvement/Unsuccessful" or "Exceptional". [CS Rule 10.7(c)(2)]
- (4) The Evaluation Session section of the Planning and Evaluation Form shall then be signed and dated by the Second Level Evaluator prior to the Evaluating Supervisor and the employee. The Second Level Evaluator shall review the proposed evaluation and ensure that the Evaluating Supervisor has provided sufficient documentation to support the evaluation. The Second Level Evaluator may change the evaluation and must sign/approve the form before the Evaluating Supervisor conducts the employee's evaluation session. [CS Rule 10.7(c)(3) and 10.7(c)(4)]
- (5) Following the Second Level Evaluator's approval, the Evaluating Supervisor shall discuss the evaluation with the employee; the Evaluating Supervisors and the employee shall then sign and date the form to document that the evaluation session was conducted. The evaluation does not become official until the employee receives it. If the employee refuses to sign or refuses to accept the copy, the employee should check the box that indicates his/her decision not to sign the form. The Evaluating Supervisor shall note on the evaluation form the employee's refusal to sign and shall record the date the evaluation session occurred. An employee's refusal, however, does not invalidate the evaluation. [CS Rules 10.7(c)(4), 10.7(c)(5), and 10.7(e)]
- (6) If the employee is unavailable, the Evaluating Supervisor shall mail the form to the employee on or before August 31 after making a note on the PES form that it was mailed. The notification shall be deemed timely if it was mailed to the employee's most recent address on or before August 31 as evidenced by official proof of mailing. When mailing the form, supervisors should obtain a "Certificate of Mailing" from the USPS as documentation confirming the date the form was mailed. This official proof of mailing must be maintained. [CS Rule 10.7(d)]

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- (7) Employees who do not receive an evaluation or who are not evaluated in accordance with this policy are assigned an "Unrated" evaluation retroactive to July 1. The second page of the PES form must be completed or changed by the Evaluating Supervisor, Second Level Evaluator, the agency reviewer, or the appropriate Human Resources officer who will indicate the "Unrated" evaluation and the reasons for such, obtain signatures as required, and subsequently provide copies to the employee, the Evaluating Supervisor, the Second Level Evaluator and appropriate Appointing Authority. This changed/signed copy of the second page shall serve as notification to the employee that an "Unrated" evaluation has been rendered and entered into the LaGov HCM system. [CS Rules 10.7(f) and 10.9]
- (8) If an employee or Evaluating Supervisor transfers within DOTD, or an Evaluating Supervisor vacates his/her position, an informal, unofficial close-out session (evaluation) may be conducted on the PES form by the losing or departing Evaluating Supervisor. The close-out session should be completed within one month of notification of transfer of either the employee or Evaluating Supervisor. A copy will be given to the employee and the employee's new Evaluating Supervisor for his/her use in preparing the next official evaluation.
- (9) In distributing the PES form, the original shall be submitted to the Field/Headquarters Human Resources office and copies are maintained by the Evaluating Supervisor in a secure location not accessible to the public, and shall not be considered public record. A copy shall also be provided to the employee. [CS Rule 10.10(a)]

4. EFFECTS OF OVERALL OFFICIAL EVALUATIONS

- A. Only employees with "Successful" or better Overall Evaluations are eligible for market adjustments, promotions, details to higher level positions, permanent status, etc.. With respect to details to special duty and promotions, employees' past performance evaluations are reviewed and used as a selection factor by Appointing Authorities.
- B. Employees with "Not Evaluated" or "Unrated" evaluations suffer no adverse consequences from the evaluation and are eligible for performance adjustments, promotions, etc., as above described.
- C. The Evaluating Supervisor shall be responsible for and evaluated on administering the entire Performance Evaluation System for his/her designated employees in accordance with this policy and the Civil Service Rules governing PES.

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- D. Employees with "Needs Improvement/Unsuccessful" official Overall Evaluations are ineligible for market adjustments, promotions, etc., as above described until they receive a "Successful" or better Overall Evaluation at the next evaluation period. In the case of a probational employee who becomes eligible for permanent status prior to receiving an official evaluation, permanent status may be granted by his/her Appointing Authority if he/she determines that the employee's performance has merited permanent status and signs a statement to that effect. [CS Rules 10.8(b)(1) and 10.8(b)(2)]
- E. Employees with "Needs Improvement/Unsuccessful" official Overall Evaluations may generally be job corrected or reallocated since these actions are based on the duties assigned the job title or position, respectively, and are not dependent upon or related to the quality of the performance of those duties by the incumbent. Exceptions to this general provision are reallocations to Dual Career Ladder (DCL) positions which have specific PES evaluation requirements and reallocations within a career progression group. If an incumbent receives a "Needs Improvement /Unsuccessful" Overall Evaluation on one or more critical factors within an overall "Successful" evaluation, the Appointing Authority should use the PES as documentation to deny reallocation to the next level in the career progression group. The requirements for moving up in a career progression group include, but are not limited to, a measure of both quality of performance of assigned duties and the duties themselves.
- F. An Evaluating Supervisor who issues a "Needs Improvement/Unsuccessful" Overall Evaluation must, at the time the substandard evaluation is given, develop a written performance improvement plan (PIP) which includes levels of performance or behavior/conduct the employee must demonstrate to attain a satisfactory performance evaluation. The plan should further establish how and when the employee's performance/progress will be monitored and how and when feedback will be provided to the employee.
- G. An employee whose official Overall Evaluation is "Needs Improvement /Unsuccessful" may be separated or disciplined under the Civil Service rules applicable to the employee's status, i.e., Rule 9.1(e) for probational employees and the provisions of Chapter 12 for permanent employees. A "Needs Improvement/Unsuccessful" evaluation is, however, not a disciplinary action. Appointing Authorities should, therefore, address unacceptable performance through the agency's disciplinary system as provided in the DOTD Secretary's PPM No. 26. [CS Rule 10.8(c)]

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5. REQUEST FOR REVIEW OF EVALUATION

- A. The Agency's grievance procedure will not be used to review annual overall performance evaluations or mid-year reviews. Only employees with permanent status may request a review of his/her annual overall performance evaluation. [CS Rule 10.14]
- B. A permanent employee who disagrees with an official Overall Evaluation of "Needs Improvement/Unsuccessful" may request an official review of the evaluation by submitting a Performance Evaluation Request for Review Form. This written request must be postmarked or received in the Headquarters Human Resources Section by September 15 following the evaluation year.. When requesting a review due to disagreement with the official Overall Evaluation, the employee must outline, factor by factor, what he/she disagrees with, what evaluation he/she feels he/she should have earned, and why. Supporting documentation that the employee wishes to have considered must be included with the request for review. If a request for review is noncompliant with this policy, the Headquarters Human Resources Section will issue a written denial of the request and an explanation for the denial. Any information received from an employee in response to his/her performance evaluation of "Exceptional", "Successful", or "Not Evaluated" will not be accepted by Human Resources and will be returned to the employee. [CS Rules 10.8(d), 10.11(a) and 10.11(d)]
- C. If the request for review is timely, a Designated Reviewer will review the evaluation, the request for review form, and any documentation provided by the employee and the Evaluating Supervisor. The Headquarters Human Resources Section will identify a Designated Reviewer who will discuss the contested evaluation with the employee and the Evaluating Supervisor. The Designated Reviewer will then decide to either change the employee's official rating or uphold the Evaluating Supervisor's rating. [CS Rules 10.11(b), 10.11(c) and 10.11(e)]
- D. The Designated Reviewer shall notify the employee, the Evaluating Supervisor, the Second Level Evaluator, and the Human Resources office of the results of the official review in writing no later than October 15. Any change in the annual evaluation made by the Designated Reviewer shall be retroactive to July 1. [CS Rule 10.11(f)]
- E. The Designated Reviewer will then complete the Performance Evaluation Request for Review form and submit to Headquarters Human Resources Section which will provide copies to all parties. Any revised PES form will be maintained in the employee's confidential personnel file located in the Headquarters Human Resources Section with the employee's request for review form, the Designated Reviewer(s)' decision, supporting documentation attached to the performance evaluation, as well any documents requested from the employee or supervisor

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during the review maintained by the Headquarters PES Program Specialist. [CS Rule 10.11(g)]

6. REQUEST FOR REVIEW BY THE DIRECTOR OF CIVIL SERVICE

- A. A permanent employee who disagrees with a Designated Reviewer's decision to affirm a "Needs Improvement/Unsuccessful" Overall Evaluation may request to have his/her PES file reviewed by the Director of State Civil Service or the Director's designee. [CS Rule 10.12(a)]
- B. This request must be postmarked or received by the State Civil Service Director within 10 calendar days following the date the employee received a copy of the Designated Reviewer's decision. The employee must explain why he/she is contesting the decision of the Designated Reviewer. [CS Rule 10.12(b)]
- C. If the request is timely, the Director/designee shall obtain and review the employee's PES file. Should the Director/designee find that DOTD violated any rule in Chapter 10 or there was no documented, rational basis for the evaluation, the Director may order the evaluation changed to "Unrated". The Director shall provide a written decision to the employee, Evaluating Supervisor, and the Designated Reviewer within thirty (30) days following the date the request for review was filed. [CS Rules 10.12(c) and 10.12(d)]

7. ACCOUNTABILITIES

- A. Each District Administrator/Section Head shall require all Evaluating Supervisors under his/her jurisdiction to satisfactorily complete the required web-based course. Accordingly, each Assistant Secretary, the Chief Engineer, the Undersecretary, and the Deputy Secretary shall ensure that District Administrators and Section Heads under their respective offices also satisfactorily complete this course.
- B. Evaluating Supervisors and Second Level Evaluators shall conduct planning and evaluation sessions in accordance with this policy and specified due dates. Failure to comply will be considered a violation of this policy as well as of Civil Service rules.
- C. Evaluating Supervisors shall review training records annually during the PES process. If, at that time, the employee has not completed/maintained all required training courses, the deficiency shall be stated and reflected in the employee's Performance Evaluation System form and the employee will be issued a letter of warning for the training deficiency in accordance with *Secretary's Policy and Procedure Memorandum No. 26* and *Chapter 12 of the Civil Service Rules* for failing to meet/maintain structured training requirements for the position currently

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- D. Each District Administrator/Section Head may address performance deficiencies through the discipline process. A "Needs Improvement/Unsuccessful" Overall Evaluation is not a disciplinary action. An employee whose poor performance warrants a "Needs Improvement/Unsuccessful" Overall Evaluation at the end of the evaluation period should have been disciplined at the time the unacceptable performance occurred. [CS Rule 10.8(a)]
- E. Second Level Evaluators shall include in their evaluations of subordinate Evaluating Supervisors, specific examples/comments on how well the Evaluating Supervisors have fulfilled their PES responsibilities, i.e., quality/objectivity of evaluations, timeliness of evaluations, documentation maintained, quality of written expectations, performance comments, etc. If the Second Level Evaluator is not an Appointing Authority, the Second Level Evaluator must notify the Appointing Authority immediately of any deficiencies.
- F. Field/Headquarters Human Resources personnel are responsible for:
 - (1) Ensuring that all new employees are made aware of the PES system during Employee Orientation programs;
 - (2) Providing assistance to agency officials, managers, and supervisors on the objectives and requirements of the system;
 - (3) Reviewing all PES forms and identifying non-compliance according to Civil Service Rules and this policy;
 - (4) Notifying Appointing Authorities of Evaluating Supervisors who have not completed PES forms in a timely manner and are, therefore, in violation of Civil Service rules and this policy; and
 - (5) Accurately and timely entering PES evaluations into the LaGov HCM System.

Additionally, Headquarters Human Resources is responsible for monitoring and evaluating the efficiency and effectiveness of the PES throughout the agency, for training supervisors, and for preparing/submitting required reports to the Department of Civil Service each year.

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B. Training

The Headquarters Human Resources Section conducts "Writing SMART Expectations" training course for supervisors. Appointing Authorities should contact the Headquarters Human Resources Performance Evaluation Specialist to schedule classes for Evaluating Supervisors.

Learning Solutions Online (LSO)/LaGov contains the following web-based courses:

- (1) PES Basics
- (2) PES Planning
- (3) PES Evaluation Process
- (4) PES Forms

Employees can self-register in LEO for these courses.

C. References

- (1) Civil Service Rules, Chapter 10 and Chapter 12
- (2) Secretary's PPM No. 26 (Disciplinary System)
- (3) Civil Service web site: www.civilservice.la.gov; select Performance Evaluation System (PES)
- (4) DOTD's intranet site; select Human Resources, Performance Evaluation System

A handwritten signature in blue ink, appearing to read "Shawn D. Wilson", is positioned above the printed name and title.

Shawn D. Wilson, Ph.D.
Secretary