

LOUISIANA DEPARTMENT OF TRANSPORTATION AND DEVELOPMENT

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

SUBJECT: CONTINUOUS PERFORMANCE MANAGEMENT

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 based on the Department of State Civil Service's rules. DOTD expects that each employee perform their duties to the best of their abilities. This policy seeks to improve DOTD's performance by establishing employee performance goals that are clearly aligned with DOTD's goals and by issuing performance evaluations based on the individual employee's contributions. Unless otherwise noted, the performance evaluation period for all employees is from January 1 – December 31 of each year. However, evaluation sessions will take place following the end of the performance year, between January 1 and March 1. [SCS Rules 10.1 and 10.7]

2. PURPOSES OF CONTINUOUS PERFORMANCE MANAGEMENT (CPM)

- A. Establish clear, well-defined, and measurable individual performance goals and accountabilities that are directly aligned with DOTD's goals and objectives, as well as continuously develop individuals into high-performing employees. [SCS Rules 10.1 and 10.14(a)]
- B. Encourage employees and supervisors to routinely, regularly, and candidly discuss work performance and thereby improve two-way communication and feedback between employees and supervisors. [SCS Rule 10.2(a)4]
- C. Evaluate employee performance on the basis of objective, written documentation maintained by each Evaluating Supervisor. [SCS Rule 10.7(c)2]
- D. Hold supervisors accountable for addressing substandard performance through additional training and coaching or through the disciplinary process when an employee's performance remains unacceptable. [SCS Rules 10.3(b) and 10.9(d)]

3. CPM PROCESS

A. Performance Planning Session

- (1) The Appointing Authority shall designate an Evaluating Supervisor and Second Level Evaluator for each employee. [SCS Rules 10.3(a) and 10.4(a)]

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- (2) The Performance Planning form shall be prepared by the Evaluating Supervisor, with a minimum of two (2) performance based goals and one (1) behavior based goal. The Second Level Evaluator will review the form and approve or suggest edits. If any changes are needed, the Second Level Evaluator shall discuss changes with the Evaluating Supervisor and then send the form back to the Evaluating Supervisor. The Evaluating Supervisor should then make any necessary revisions and resend the form to the Second Level Evaluator for approval. [SCS Rules 10.5(a), 10.2(a)1, and 10.5(b)]
- (3) Once approved/signed and dated by the Second Level Evaluator, the Evaluating Supervisor shall personally discuss and clearly explain the planned goals with the employee. The Evaluating Supervisor shall sign and document the planning discussion date. The employee shall be provided with a copy or access to the form. An employee cannot prevent the Performance Planning form from becoming official by refusing to acknowledge receipt. [SCS Rules 10.5(b), 10.5(c), and 10.5(d)]
- (4) The performance planning session shall be conducted for each classified employee (except a "When Actually Employed" (WAE) employee) as detailed below:
 - (a) during the first two (2) calendar months following the appointment of a new employee. [SCS Rule 10.5(e)1]
 - (b) during the first two (2) calendar months following the permanent movement of an employee into a position having a different position number with significantly different duties. [SCS Rule 10.5(e)2] or
 - (c) At the beginning of the new performance evaluation year. The performance evaluation year begins January 1 and ends December 31. Planning sessions shall be conducted no earlier than January 1 and no later than March 1. [SCS Rule 10.5(e)3]
- (5) A performance planning session may be conducted when:
 - (a) an employee is assigned a new Evaluating Supervisor [SCS Rule 10.5(f)1], or
 - (b) the Evaluating Supervisor believes a new planning session is appropriate. [SCS Rule 10.5(f)2]

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- (6) 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.
- (7) The Evaluating Supervisor may complete the evaluation session for the prior performance year and the planning session for the current performance year at the same time.

B. Continuous Review

- (1) Throughout the performance evaluation year, each Evaluating Supervisor should routinely and regularly observe the performance of their 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 [SCS Rule 10.3(b)]
- (2) Each Evaluating Supervisor should also maintain a performance file for documenting each employee's performance history. The file should contain a copy of the position description, documentation of employee performance and counseling or coaching sessions held, supervisory observations, employee work products, letters of counseling or disciplinary actions, input from others regarding the employee's performance, attendance records, structured training requirements, and any other documents that the Evaluating Supervisor uses to evaluate the employee's performance. Performance documentation is not a public record and, therefore, must not be kept in a publicly accessible file. However, in the event of an employee's request for a review of an unsuccessful evaluation rating, the Evaluating Supervisor will be required to provide this file to the Agency Review Panel within a reasonable amount of time. [SCS Rule 10.10(e)]

C. Performance Evaluation Session

- (1) For employees that are not serving in a WAE or unclassified appointment, the Evaluating Supervisor shall conduct a performance evaluation based on the goals stated in their performance planning form and session between January 1 and March 1. [SCS Rules 10.1, 10.7(b) and 10.7(c)1]
- (2) The Evaluating Supervisor shall support the performance rating with comments and attach supporting documents as deemed appropriate. [SCS Rule 10.7(c)2]

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- (3) The Evaluating Supervisor shall assign one of the five ratings listed below based on the employee's overall satisfaction of position requirements. [SCS 10.6(a)]
 - (a) **Exceptional:** Consistently exceeds position requirements
 - (b) **Exceeds Expectations:** Occasionally exceeds the position requirements
 - (c) **Successful:** Meets position requirements
 - (d) **Needs Improvement:** Occasionally fails to meet position requirements
 - (e) **Unsuccessful:** Consistently fails to meet position requirements
- (4) A "Not Evaluated" rating shall have the same effect as a "Successful" rating. [SCS Rule 10.6(b)3]
- (5) An Evaluating Supervisor may issue a "Not Evaluated" rating for an employee when:
 - (a) An employee is appointed on or after October 1 of the performance evaluation year. [SCS Rule 10.6(b)1]
 - (b) An employee transfers agencies between January 1 and March 1 and has worked less than three (3) months at the evaluating agency within the performance year, and has not been rated by the losing Agency [SCS Rule 10.6(b)2]
- (6) An "Unrated" rating shall have the same effect as a "Successful" rating. [SCS Rule 10.6(c)3]
- (7) An employee may receive an "Unrated" rating when:
 - (a) An evaluation is in violation of SCS rules. [SCS Rule 10.6(c)1]
 - (b) In the absence of a performance evaluation. [SCS Rule 10.6(c)2]
- (8) The Evaluating Supervisor shall maintain the employee's performance documentation file throughout the year to complete the Performance Evaluation Form.

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- (9) For an Unsuccessful rating, the Evaluating Supervisor shall provide sufficient documentation and comments to support the rating, any potential disciplinary action, and inform the employee of deficiencies in sufficient detail for the employee to respond in an agency review or appeal. [SCS Rule 10.7(c)2]
- (10) The Performance Evaluation form shall then be forwarded to the Second Level Evaluator for concurrence and signature prior to discussion with the employee. [SCS Rule 10.7(c)3]
- (11) The Second Level Evaluator shall review the proposed evaluation and ensure that the Evaluating Supervisor has provided sufficient documentation to support the evaluation. If any changes are needed to the evaluation, the Second Level Evaluator shall discuss changes with the Evaluating Supervisor and then send the form back to the Evaluating Supervisor. The Evaluating Supervisor should make any necessary revisions and resend the form to the Second Level Evaluator for approval. [SCS Rule 10.7(c)3]
- (12) Following the Second Level Evaluator's approval, the Evaluating Supervisor shall discuss the evaluation with the employee; the Evaluating Supervisor and the employee shall then sign the document indicating the evaluation session was conducted. The Evaluating Supervisor shall then provide the employee with a copy or access to the completed Performance Evaluation form and any supporting documentation. If the employee refuses to attend the performance evaluation session, refuses to sign the Performance Evaluation form, and/or refuses to accept a copy of the document, the Evaluating Supervisor shall note the employee's refusal on the Performance Evaluation form. However, an employee's refusal of any of the actions listed prior does not invalidate the evaluation. [SCS Rules 10.7(c)4, 10.7(c)5, and 10.7(d)]
- (13) If the employee is unavailable, the Evaluating Supervisor shall mail or email the form to the employee on or before March 1. The notification shall be deemed timely if it was mailed to the employee's most recent address on file before March 1 as evidenced by official proof of mailing or emailed to the employee's state-issued email address as evidenced by a copy of the dated email together with a "read" receipt, reply email, or other affirmative acknowledgment of receipt. 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. [SCS Rules 10.11(a) and 10.11(b)]

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- (14) Employees who do not receive an evaluation or who are not evaluated in accordance with this policy shall be assigned an "Unrated" rating retroactive to January 1 by the Human Resources CPM Specialist. This changed/signed form shall serve as notification to the employee that an "Unrated" rating has been rendered and entered into the LaGov HCM system. [SCS Rules 10.6(c) and 10.10(k)]

4. EFFECTS OF OVERALL OFFICIAL EVALUATIONS

- A. Employees with an "Exceptional," "Exceeds Expectations," "Successful," "Not Evaluated," or "Unrated" evaluation rating are eligible for promotions, details to higher level positions, permanent status, placement on a Department Preferred Reemployment List (DPRL) and market adjustments. With respect to details to special duty and promotions, employees' past performance evaluations are reviewed and may be used as a selection factor by Appointing Authorities.
- B. A "Needs Improvement" or "Unsuccessful" official overall evaluation rating is not a disciplinary action. [SCS Rules 10.8(a) and 10.9(a)]
- C. Employees with a "Needs Improvement" or "Unsuccessful" official overall evaluation rating are ineligible for promotions, attainment of permanent status, details to higher-level positions, or placement on a DPRL until they receive a "Successful" or better evaluation rating at the next evaluation period. [SCS Rule 10.8(b) and 10.9(b)]
- D. Employees who receive a performance evaluation rating of "Needs Improvement" in the previous performance evaluation year shall not receive a consecutive rating of "Needs Improvement." [SCS Rule 10.8(c)]
- E. An "Unsuccessful" evaluation rating is the only rating that is ineligible for market adjustments. [SCS Rule 10.9(b)5]
- F. An employee with an evaluation rating of "Unsuccessful" may be disciplined under the State Civil Service rules applicable to the employee's status. [SCS Rule 10.9(d)]

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5. REQUEST FOR REVIEW OF EVALUATION

- A. DOTD's grievance procedure will not be used to review annual performance evaluations. Only employees with permanent status and a performance evaluation rating of "Unsuccessful" may request a review of their annual overall performance evaluation rating by a Review Panel. [SCS Rules 10.12 and 10.10(a)]
- B. A permanent employee who disagrees with an evaluation rating of "Unsuccessful" may request an official review of the evaluation by submitting a CPM Agency Review Form. This written request must be postmarked or received in the Headquarters Human Resources Office by March 16 following the evaluation year. [SCS Rules 10.9(c), and 10.10(a-b)]
- C. If the request is timely, the Appointing Authority shall designate an Agency Review Panel consisting of at least three members who are believed by the Appointing Authority to be impartial and who shall not be the employee's Evaluating Supervisor or Second Level Evaluator. [SCS Rule 10.10(c)]
- D. The performance evaluation form will be reviewed by the CPM Specialist. If a rule violation is identified, the rating shall be changed to "Unrated" and the review process will cease. [SCS Rule 10.10(d)]
- E. The Agency Review Panel will review the employee's request, Performance Planning form, Performance Evaluation form, and all supporting documentation provided by each party. The evaluation under review shall be discussed with the employee, the Evaluating Supervisor, and the Second Level Evaluator separately. [SCS Rule 10.10(e)]
- F. The Agency Review Panel may request and shall be provided any additional documentation deemed necessary to make a determination. The Evaluating Supervisor and the employee shall be provided a copy of any additional documentation requested and received by the Panel. [SCS Rule 10.10(f)]
- G. By majority vote, the Agency Review Panel will decide to either change the employee's official rating to "Needs Improvement" or uphold the Evaluating Supervisor's rating. [SCS Rule 10.10(g)]
- H. The Agency Review Panel shall notify the Human Resources Office of any rule violation identified in the review process and the rating shall be changed to "Unrated". [SCS Rule 10.10(g)]
- I. The Agency Review Panel shall notify the employee, the Evaluating Supervisor, the Second Level Evaluator, and the Human Resources Office of the results of the

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official review in writing and with the completed CPM Agency Review Form no later than April 16. Any change in the annual evaluation made by the Agency Review Panel shall be retroactive to January 1. [SCS Rules 10.10(i) and 10.10(k)]

- J. The Agency Review Panel's decision shall be final except in the event the review process was not conducted in accordance with SCS Rules. Any violation thereof shall result in a performance evaluation rating of "Unrated." Any change in the performance evaluation rating shall be recorded by the CPM Specialist on the Rating Replacement Form or the Performance Evaluation form with an effective date of January 1. [SCS Rules 10.10(h), 10.10(j) and 10.10(k)]
- K. All documentation including the CPM Agency Review Form, the Agency Review Panel decision, supporting documentation attached to the performance evaluation, as well as any documents requested from the employee or supervisor during the review will be maintained in the employee's confidential personnel file located in the Headquarters Human Resources Office by the CPM Specialist and shall not be considered public record. [SCS Rule 10.13]

6. ACCOUNTABILITIES

- A. Each District Administrator/Section Head shall require all employees under their 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 State Civil Service Rules.
- C. Evaluating Supervisors shall review training records annually during the CPM 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 evaluation, 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 State Civil Service Rules* for failing to meet/maintain structured training requirements for the position currently occupied.
- D. Appointing Authorities may discipline employees with a confirmed rating of "Unsuccessful". [SCS Rule 10.9(d)]

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E. Human Resources personnel are responsible for:

- (1) Ensuring that all new employees are made aware of CPM during Employee Orientation programs and the required CPM training;
- (2) Providing assistance to DOTD officials, managers, and supervisors on the objectives and requirements of the system; and
- (3) Notifying Appointing Authorities of Evaluating Supervisors who have not completed CPM forms in a timely manner and are, therefore, in violation of State Civil Service rules and this policy.

Additionally, Headquarters Human Resources is responsible for monitoring and evaluating the efficiency and effectiveness of the CPM process throughout DOTD, and for training supervisors.

7. TOOLS/REFERENCES

A. Forms

Continuous Performance Management forms are available on the intranet under LaGov Portal (includes LEO and SuccessFactors.)

B. Mandatory Training

SCS CPTP CPM Basics

C. SuccessFactors Video Tutorials, and Resources

Video Tutorials

2025 CPM Planning for Supervisors Manual

Creating Goals Quick Guide

Change Accessibility Settings

Employee - Signing Planning Form

How to Complete Planning Form

Navigate Dashboard

Supervisor - Document Planning Discussion

2nd Level Evaluator Training

CPM Bank of Goals and Competencies

D. References

- (1) State Civil Service Rules, Chapter 10 and Chapter 12

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- (2) Secretary's PPM No. 26 (Disciplinary System)
- (3) State Civil Service website: www.civilservice.la.gov; select Continuous Performance Management (CPM)
- (4) DOTD's intranet site; select Human Resources, Continuous Performance Management
- (5) SCS CPTP CPM Basics web-based training

A handwritten signature in blue ink, reading "Glenn Ledet, Jr." with a stylized flourish at the end.

Glenn Ledet, Jr.
Secretary