

# LOUISIANA STATE UNIVERSITY AGRICULTURAL CENTER

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AG CENTER PS-10  
Revision 3

## PERFORMANCE EVALUATION SYSTEM (PES) FOR CLASSIFIED PERSONNEL

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### Purpose

The purpose of the Performance Evaluation System (PES) is to facilitate communication between supervisors and subordinates; thereby, improving efficiency, productivity, overall operations and morale. Performance evaluations are a factor in decisions concerning performance adjustments, permanent status, promotion, and disciplinary action. They also serve as a guide for training and better utilization of personnel.

### General Policy

The LSU AgCenter utilizes an electronic PES system while adhering to Chapter 10 of the Louisiana Department of State Civil Service (SCS) Rules. The system has a three level value rating system (Exceptional, Successful, Needs Improvement /Unsuccessful) as defined in SCS Rule 10.6 and requires both annual performance planning and an annual performance evaluation session.

### The Performance Evaluation System Timeframe

Performance Evaluation Year	July 1 <sup>st</sup> – June 30 <sup>th</sup> (of each year)  <b><i>A newly hired employee's performance year starts at his hire date and ends June 30<sup>th</sup>.</i></b>
Performance Planning conducted	July 1 <sup>st</sup> – September 30 <sup>th</sup> (at the beginning of each year)
Performance Evaluation conducted *	July 1 <sup>st</sup> – September 30 <sup>th</sup>
Effective date of Evaluation	July 1 <sup>st</sup> (after completion of the performance year)
Effective date of Performance Adjustment (if funding available)	October 1 <sup>st</sup> (of each year)
Deadline to request an Agency Review *	October 15 <sup>th</sup> (of each year)
Deadline for Agency to render decision *	November 15 <sup>th</sup> (of each year)
Deadline to Request C.S. Director's review	10 calendar days from the date the Agency Reviewer rendered the decision to the employee.
Deadline for C.S. Director to render decision	30 calendar days from the time SCS receives the PES file from the agency.

\* Approved exception to State Civil Service Rules.

### Performance Planning

Planning sessions **must** be conducted annually and within the first 3 months following:

- the appointment of a new employee; or
- the permanent movement of an employee into a position having a different position number and significantly different duties.

A planning session **may** be conducted:

- when an employee receives a new rating supervisor;
- when performance expectations change; and/or
- when the evaluating supervisor believes a new planning session is necessary.

Evaluating supervisors prepare performance plans for each employee listing the work tasks and behavior standards for which the employee will be evaluated during the performance year. During the **planning session**, the evaluating supervisor is required to review the planning documents and discuss the expectations with the employee for the upcoming performance year. The evaluating supervisor will deliver an electronic copy of the **plan** to the employee and will obtain an electronic signature from the employee.

The employee's refusal to sign does not prevent the plan from becoming official. If an employee refuses to sign, the supervisor shall note the refusal, including the date, and provide a copy to the employee. A refusal to sign option is available during the electronic process.

In some instances, a supervisor is unable to process the **planning** document completely electronically. Supervisors have the option to print a hard copy of the **planning** document and obtain a written signature from the employee. Contact HRM for direction.

### Performance Evaluation

Performance evaluation sessions are held July 1<sup>st</sup> through September 30<sup>th</sup> of each year. Evaluations are required for all classified employees, excluding Classified WAE's. The evaluation is based on the work tasks and behavior standards as stated in the planning session document. The evaluating supervisor completes the performance rating portions of the performance appraisal form and performance feedback is given to the employee. The performance evaluation is based on the employee's overall performance in each factor taking into consideration explanatory material on the form, any specific performance expectations, and overall compliance with agency and related regulations. Each employee receives an overall rating as prescribed by SCS Rules. During the **performance evaluation session**, the evaluating supervisor is required to review the **evaluation** document and discuss the performance with the employee for the evaluation period. The evaluating supervisor will deliver an electronic copy of the **evaluation** to the employee and will obtain an electronic signature from the employee.

The employee's refusal to sign does not prevent the evaluation from becoming official. If an employee refuses to sign, then the supervisor notes the refusal, including the date, and provide a copy to the employee. A refusal to sign option is available during the electronic process.

In some instances, a supervisor is unable to process the **evaluation** document completely electronically. Supervisors have the option to print a hard copy of the **evaluation** document and obtain a written signature from the employee. Contact HRM for direction.

If any conflict occurs between this policy and SCS Rules, the SCS Rules take precedence, except for approved exceptions.

### Evaluating Supervisor/ Second Level Evaluator

SCS Rules specify that the performance planning and review sessions must be conducted by an evaluating **supervisor** designated for the position and approved by a second level evaluator prior to it being discussed with the employee. AgCenter evaluating supervisors are listed below.

Station positions: resident director or resident coordinator or equivalent  
Parish office positions: parish chair  
Regional positions: regional director  
Department positions: department head  
Paraprofessional Educator positions: supervising extension agent  
Other positions: the first line unit head

The rating process must include the individual who can best observe the employee's work and evaluate his/her performance, generally the immediate supervisor if different from the unit head. The immediate supervisor should either make the preliminary rating, subject to review by the evaluating supervisor, or otherwise be directly involved in the review. *The unit head may delegate responsibility for serving as rating supervisor to another appropriate employee in the unit (e.g., coordinator, supervising faculty member, administrative specialist, secretary, etc.).*

The evaluating supervisor for paraprofessional educators is the supervising extension agent; however, the parish chair may elect to be involved in the process.

For employees who have more than one supervisor in situations where neither is primary, the supervisors should coordinate to obtain the proper rating for the entire period.

### Supervisor Responsibilities

For Performance Planning Sessions, Civil Service Rule 10.5 requires that the supervisor:

- Prepare a performance plan for classified subordinates;
- Receive approval from the second level evaluator;
- Discuss the plan with the employee;
- Obtain a signature, electronic or written, from the employee; and
- Ensure that the employee receives an electronic or hard copy of the plan.

For Performance Evaluations Sessions, Civil Service Rule 10.7 requires that the supervisor:

- Complete the evaluation form after June 30<sup>th</sup> of each performance year;
- Provide documentation to support an evaluation of "Exceptional" or "Needs Improvement/ Unsuccessful";
- Obtain the second level evaluator's approval;
- Discuss the evaluation with the employee and present the documentation to the employee;
- Obtain a signature, electronic or written, from the employee; and
- Ensure that the employee receives an electronic or hard copy of the evaluation.

**Note:** If the evaluating supervisor or the second level evaluator fail to perform their PES responsibilities during the year, they become ineligible for a performance adjustment.

Good supervisory practices throughout the rating period generally include the tasks listed below.

1. Regularly discuss performance with the employee explaining where his/her work meets, exceeds or fails to meet the minimum requirements.

2. Rendering assistance when needed to improve the employee's performance and otherwise strengthening the supervisory relationship.
3. Giving due recognition of merit in evaluating the employee's performance.
4. Taking or recommending appropriate action, including performance improvement plans, when an employee's sustained performance does not meet requirements in any factor.
5. Maintaining any appropriate documentation to support the performance appraisal process.

### Impact of Rating

At the end of the performance period, the evaluating supervisor determines the overall performance rating of an employee. The value assigned will be one of the following:

- Exceptional (Requires documentation to support the evaluation)
- Successful
- Need Improvement/Unsuccessful (Requires documentation to support the evaluation)

The performance evaluation will be considered in decisions regarding performance adjustments, permanent status, promotion, details to special duty and disciplinary actions. A rating of Successful or Exceptional does not guarantee the granting of a performance adjustment, permanent status, or promotion nor does it prevent disciplinary action if justified.

In accordance with SCS Rule 10.8 an employee with a *Needs Improvement/Unsuccessful* evaluation is not eligible for performance adjustments, promotions, permanent status or detail to special duty (without advance approval of the Director of Civil Service).

An employee who does not receive an evaluation will have an official overall evaluation of "Unrated". An unrated evaluation is equivalent to a "Successful" rating.

### Request for Agency Review

Only permanent employees who receive an overall evaluation of "Unrated" or "Needs Improvement/Unsuccessful" may request an official review of that evaluation. A written request for review must be postmarked or received in the AgCenter Human Resource Office (HRM) no later than October 15<sup>th</sup>. In the request for review, the employee must explain and provide supporting documentation for the request.

The evaluation can only be changed by the agency reviewer that has been designated by the appointing authority. The HRM Office will assign a reviewer to the request based on the unit and/or subject of the request including whether the issue is procedural, policy-based, or disagreement over actual performance of duties. Requests based on assessment of job performance will be assigned to an objective individual with some knowledge of that area or unit. In no case will the reviewer be someone who signed or was directly involved in the original rating. The agency reviewer may be a program leader, unit head, director, or other administrative personnel.

If the request is timely, the reviewer will conduct a review in accordance with the below.

1. Review the rating, the request for review, and the supporting documentation.
2. Discuss the contested rating(s) with the employee *and* the evaluating supervisor (together and/or separately). The reviewer may consult with other appropriate personnel in making a decision.
3. Notify the employee, the evaluating supervisor and HRM, *in writing*, of the results of the review by

November 15<sup>th</sup>.

4. Provide HRM with the performance evaluation form, the employee's request for review, the agency reviewer's decision, the supporting documentation attached to the performance evaluation, and any documentation requested during the review to be maintained in a secure confidential location.

Any change in rating will be retroactive to July 1<sup>st</sup>.

### **Request for Review by the Director of Civil Service**

A permanent employee who received an official evaluation of "Needs Improvement/ Unsuccessful" following an agency review may request a review from the Civil Service Director. The review must be postmarked or received by the Director no later than ten calendar days following the date the employee received the agency's review decision. The employee must explain why he is contesting the decision of the agency reviewer. The Director's decision is final. The Director will issue a written decision to the employee, evaluating supervisor and HRM no later than 30 calendar days after the request for review was received.

In accordance with SCS Rule 10.14, the AgCenter grievance process may not be used to review or reconsider ratings or procedural violation of these rules.

### **Record-Keeping**

Performance evaluation documents are confidential and are not public record. They must be produced if requested by the SCS for auditing purposes and to other agencies of the State of Louisiana for purposes of checking employment references and to the employee.