



## POLICY STATEMENT 39

# PERFORMANCE EVALUATIONS FOR CLASSIFIED EMPLOYEES

### POLICY DIGEST

Monitoring Unit: Office of Human Resource Management  
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## I. PURPOSE

The Performance Evaluation System (PES) is a tool used to measure individual performance, align performance with institutional plans and goals, and develop and grow employees into successful and high-performing individuals. Performance evaluations should be used to provide the basis for compensation market adjustments, promotion, career development, training, and recording job performance strengths and weaknesses for future action.

## II. DEFINITIONS

**Performance Evaluation:** A systematic review of the work actually performed by the employee in the position held during the rating period. Performance evaluations must objectively reflect the employee's actual performance based on standards that are directly related to the job. All classified employees are included except those on restricted or contingent appointments (e.g. *Wages as Earned*).

**Evaluation Year:** July 1 through June 30 of each year.

**Evaluating Supervisor:** The person who is the best position to observe and document the employee's performance. Generally, the evaluating supervisor is officially designated as the employee's supervisor in LSU's system of record (e.g. Workday). The evaluating supervisor shall be responsible for administering the performance evaluation for the designated employees.

**Second Level Evaluator:** The Second Level Evaluator is the Evaluating Supervisor's supervisor. The Second Level Evaluator must approve the planning session documentation and the performance evaluation prepared by the Evaluating Supervisor before the information is given to the employee.

**Performance Evaluation:** Each employee will be evaluated on the overall performance, based on work tasks and behavior standards as determined by the evaluating supervisor to be requirements of the employee's job.

**Rating Scale:** Civil Service Rules require that a rating scale be used to rate each competency area. The rating scale includes these descriptors of job performance:

- A. Unsatisfactory
- B. Exceptional – work and behavior consistently exceeded the performance criteria
- C. Successful – work and behavior met the performance criteria
- D. Needs Improvement/Unsuccessful - work and/or behavior did not meet the performance criteria
- E. Not Evaluated – strictly used when an employee has worked less than three calendar months within the evaluation year

**Evaluation Meeting:** occasion for discussion of the evaluation between the employee and the evaluating supervisor after the Second Level Evaluator has signed and agreed to contents of evaluation; typically occurs in person but may occur virtually if necessary

**Planning Session:** occasion for discussion of the employee’s performance goals for the new period of evaluation; the Evaluating Supervisor will prepare for the planning session at the beginning of each evaluation year; the written documentation of the session must include work tasks and behavior standards on which the employee’s overall performance will be evaluated

### III. GENERAL POLICY

#### A. Planning Session

Civil Service Rules require that an evaluating supervisor conduct a planning session with each employee. The planning session must fully inform the employee of the performance requirements of the job. The planning session must be documented via LSU’s HR system of record (e.g. Workday).

1. Planning sessions must be conducted during the first three months following:
  - a. the appointment of a new employee;
  - b. the permanent movement of an employee into a position having a different position number with significantly different duties; or
  - c. the beginning of a new performance evaluation year
2. While not required, a planning session may be conducted when:
  - a. the employee gets a new evaluating supervisor;
  - b. performance expectations change; or
  - c. the evaluating supervisor deems a performance planning session is appropriate.

#### B. Designating the Evaluating Supervisor

The evaluating supervisor will be responsible for preparing the employee's evaluation. If more than one level of supervision is involved, all evaluators must agree on the employee's evaluation before it is sent to the Second Level Evaluator in Workday. .

No change shall be made to an employee's evaluation after the employee has signed the evaluation form unless the employee is notified in writing.

#### C. Responsibility of the Supervisor Preparing the Evaluation

Since performance ratings reflect the entire evaluation year, the supervisor preparing the evaluation has ongoing responsibilities throughout the year to inform the employee of their job performance. (Note: The employee's medical information must NEVER be included in the evaluation.)

The supervisor's responsibilities include:

1. Discussing the employee's performance with the employee throughout the year and advising the employee whether or not the performance meets, exceeds, or fails to meet the established performance standards.
2. Rendering assistance when needed to improve employee performance, and otherwise strengthening the supervisor- employee relationship.
3. Taking or recommending appropriate action when an employee's sustained performance is unsatisfactory in any way.
4. Providing the employee with a reasonable period of time to correct any performance problems.

#### D. Assigning Ratings

All ratings must be briefly explained in the Overall Evaluation Comments section of the performance evaluation.

An overall evaluation of *Needs Improvement* or *Unsuccessful* is not a disciplinary action. Any employee whose official overall evaluation is *Needs Improvement* or *Unsuccessful* will not be considered for the following over the next rating period:

1. Market compensation adjustments
2. promotion
3. permanent status, if probational
4. detail to higher level job

An employee whose official overall evaluation is *Needs Improvement* or *Unsuccessful* may be separated or disciplined in accordance with the rules applicable to the employee's status. Permanent employees have a right to request a review in accordance with the provisions of Civil Service rules 10.11 and 10.12.

Any overall rating of *Needs Improvement* or *Unsuccessful* requires prior approval the Office of Human Resource Management.

#### E. Evaluation Meeting

The evaluating supervisor must conduct a session with the employee to review the performance evaluation. The employee is expected to acknowledge receipt of the evaluation, typically in Workday. If the employee refuses to acknowledge the evaluation in Workday, the evaluating supervisor shall inform HRM to manually advance the evaluation in Workday. The employee refusing acknowledgment does not prevent the evaluation from being official.

When an employee is not available, such as being on Family Medical Leave (FMLA) or on military leave of absence, the provisions of this rule will be satisfied when notification to the employee is made by postal mail. If the employee is notified by mail, the notification will be deemed timely if it was mailed to the employee before the evaluation deadline as evidenced by official proof of mailing. The evaluating supervisor should inform HRM of this and send proof of mailing to be attached in Workday.

#### F. Failure to Conduct an Evaluation

Employees who do not receive a performance evaluation in a timely manner are considered by Civil to receive an official overall evaluation of *Unrated* on the evaluation effective date of July 1<sup>st</sup>.

#### G. Review of Ratings

A permanent employee who receives an overall performance evaluation of *Needs Improvement* or *Unsuccessful* may request an official review of that evaluation by HRM. *Unrated* evaluations will have the same effect as an evaluation of "Successful."

To request a review, the employee must submit a written appeal to HRM. The deadline to submit an appeal is September 15, unless stated otherwise by Civil Service. A written decision will be rendered within 30 calendar days from the date the request is received in HRM. The official overall evaluation may only be changed with the approval of HRM.

If the employee is not satisfied with HRM's response, the employee may appeal to Civil Service. The appeal must be received by the Department of Civil Service within 10 calendar days from the date the employee is notified of HRM's decision.

Performance evaluation ratings are not grievable under PS 80.

#### **IV. SOURCES**

Civil Service Rules, Chapter 10, Service Ratings

Civil Service Manual, Part 12, Service Ratings

Civil Service General Circular 1417.