

LSU HEALTH CARE SERVICES DIVISION


POLICY NUMBER: 4533-19

CATEGORY: Human Resources

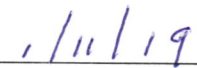
CONTENT: Performance Evaluation System (PES) for **Classified** Employees

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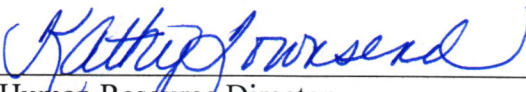
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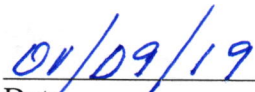
Deputy Chief Executive Officer
LSU Health Care Services Division



Date



Human Resource Director
LSU Health Care Services Division



Date

**LSU HEALTH CARE SERVICES DIVISION
PERFORMANCE EVALUATION SYSTEM (PES)
POLICY AND PROCEDURES FOR CLASSIFIED EMPLOYEES**

Note: This policy will also apply to any unclassified employee supervising classified employee(s)

I. PURPOSE

To ensure that the Health Care Services Division (HCSD) complies with Chapter 10 of the Civil Service Rules regarding the Performance Evaluation System (PES) for classified employees.

For this policy, the word “Performance” covers all aspects of employment to include job duties (both written and verbal communications), conduct, behavior, policies and procedures, training, and attendance.

II. APPLICABILITY

This policy applies to all classified employees (except classified employees serving in a Temporary WAE appointment status) within the HCSD and any unclassified employee supervising classified employee(s).

Please refer to HCSD Policy #4561, Unclassified Performance Evaluations, for evaluation of unclassified employees.

III. IMPLEMENTATION

This policy and subsequent revisions to this policy shall be implemented in accordance with Civil Service Rules governing the PES. Any changes to policy shall become effective upon approval and date of signature of the HCSD Deputy CEO.

IV. EVALUATION YEAR

The performance evaluation year for each employee shall be July 1st through June 30th.

V. PES COMPONENTS

- A. Civil Service standard PES form shall be used. Contact the Human Resources Department for the form and/or link to print form.
- B. Performance plan that lists the performance factors on which the employee’s overall performance will be evaluated to include both work tasks and behavior standards. Each supervisory employee shall be evaluated on their administration of the PES.
- C. Planning session at which the evaluating supervisor and employee discuss the performance plan.

- D. A three level evaluation system.
- E. No re-ratings

VI. EVALUATING SUPERVISOR

- A. In most cases, this is the direct line supervisor as indicated on position descriptions.
- B. Responsible for administering the PES for subordinates within the required deadlines.
- C. Evaluating Supervisor (classified or unclassified) who fails to administer the PES in accordance with this policy and/or Civil Service rules shall not be eligible for a performance adjustment for that year and may be subject to disciplinary action up to and including dismissal.

VII. SECOND LEVEL EVALUATOR

- A. Designated by the appointing authority - generally this is the Evaluating Supervisor's supervisor.
- B. Shall approve and sign the performance plan and the evaluation prepared by the Evaluating Supervisor before they are given to the employee for signature. The Second Level Evaluator shall:
 - 1. Ensure expectations on the plan support the agency mission
 - 2. Ensure goals are based on position duties
 - 3. Ensure evaluation is based on overall job performance for the evaluation rating period.
- C. Second Level Evaluator (classified and/or unclassified) who fails to administer the PES in accordance with this policy and/or Civil Service rules shall not be eligible for a performance adjustment for that year and may be subject to disciplinary action up to and including dismissal.

VIII. PES PLANNING SESSION

- A. Shall be conducted during the first three (3) calendar months following:
 - 1. Appointment of a new employee
 - 2. Permanent movement of an employee into a position having a different position number with significantly different duties
 - 3. The beginning of the new performance evaluation year (no later than 09/30).

- B. A performance planning session may be conducted when:
1. Employee gets a new Evaluating Supervisor
 2. Performance expectations change
 3. Evaluating Supervisor determines a performance planning session is appropriate.
- C. Performance Planning Form Completion Procedures
1. Complete the expectation section of the PES form to include work tasks and behavior standards on which the employee's overall performance will be evaluated based on position description/job duties and agency goals and objectives.
 - a. Expectations should be specific and shall be relevant to the employee's job. The employee should have a clear understanding of the duties and behavior being required to perform successfully.
 - b. Expectations should be measurable and attainable. Explain how the employee can reach the expectations. Use designated timeframes and/or deadlines for completion of tasks when appropriate.
 - c. May use the "Bank of Expectations" provided by Civil Service and can be found on the Civil Service website. Here is the link. May need to cut and paste into your browser.

<http://www.civilservice.la.gov/asp/Expectations/Expectations.aspx>

2. Complete Department & Agency mission statements as follows:
 - a. Agency is defined as HCSD so the HCSD mission statement shall be included as a standard on all employee PES forms.
"On behalf of all the citizens of Louisiana, the LSU Health Care Services Division shall provide access to high quality medical care; Develop medical and clinical manpower through accredited residency and other health education programs; Operate efficiently and cost effectively; While achieving our objectives, work cooperatively with other health care providers and agencies to improve health outcomes."
 - b. Department will be defined as the individual Business Unit. Therefore, each Hospital's mission statement shall be included as a standard on all employees' PES forms.
3. HCSD also requires the inclusion of the following standards:
 - a. Compliance Statement:
"Demonstrates adherence to the compliance plans and policies of the

facility/medical center; demonstrates familiarity with and adheres to the requirements of reporting potential fraudulent or abusive behavior; keeps all patient and employee information private/secure and confidential; completes all compliance training requirements within the required deadlines. “

b. Training Statement:

“Demonstrates adherence to the HCSD Training Policy No. 4539 by completing all training required by, but not limited to LSU System Office, HCSD Administration, Hospital Leadership, Civil Service, Federal and/or State rules, regulations, requirements, guidelines or any other governing body, within the required deadlines.”

4. Evaluating Supervisor obtains approval/signature of Second Level Evaluator of the performance plan prior to meeting with employee.
5. Evaluating Supervisor meets with employee to discuss the expectations and performance standards.
6. Evaluating Supervisor and Employee sign/date the PES form. Employee is given a copy. Procedures for maintenance of original planning copy will be established by each Business Unit keeping in mind that the HR Departments are responsible for monitoring, compliance, and auditing of documents.
7. Employee refuses to sign PES form – Evaluating Supervisor shall note the refusal on the PES form and record the date the planning session occurred. An employee cannot prevent the planning session from becoming official by refusing to sign the form.
8. Evaluating Supervisor Not Available to complete PES form: The Second Level Evaluator or designee shall conduct planning sessions.

IX. OVERALL PERFORMANCE EVALUATION PROCEDURES

- A. Evaluations are made after the performance year has ended on 06/30.
- B. Must be completed and submitted to the Human Resources Department no later than 08/31.
- C. Overall performance is based upon the work tasks and behavior standards established in the yearly performance plan.
- D. All official evaluations will have an effective date of 07/01 and become official the date they are sign/dated.
- E. Three levels of ratings – Two levels of non-ratings

1. Exceptional – Work and behavior consistently exceeded the performance criteria
 2. Successful – Work and behavior met the performance criteria
 3. Needs Improvement/Unsuccessful – Work and/or behavior did not meet the performance criteria (See section X. for impact)
 4. Not Evaluated – Recent hire/insufficient time to evaluate (Refer to F. below for further explanation.)
 5. Unrated – Did not meet evaluation deadline (Please refer to G. below for further explanation.)
- F. “Not Evaluated” rating may be selected under the following conditions. All three conditions must be met to select this rating.
1. Employee is active as of 06/30 **AND**
 2. Employee has worked less than three (3) months at the evaluating agency **AND**
 3. Appointing Authority of the business unit determines that not enough time has elapsed to create an evaluation for the employee. An overall evaluation of “Not Evaluated” shall have the same effect as an evaluation of “Successful” and employees are eligible for performance adjustments, promotions, details, and permanent status.
- G. “Unrated” evaluation
1. Is in violation of Civil Service rules and this Policy.
 2. Evaluating Supervisors who fail to submit completed evaluations on their employees to the Human Resources Department by 08/31, shall not be eligible for a performance adjustment for the year and may be subject to disciplinary action up to and including termination.
 3. An employee receiving an “Unrated” evaluation shall have the same effect as an evaluation of “Successful” and are eligible for performance adjustments, promotions, details, and permanent status.
 4. Evaluations of “Unrated” shall be indicated on the final PES form by the Evaluating Supervisor, Second Level Evaluator or Human Resources staff.
 5. An employee shall be notified when he has been assigned an official overall evaluation of “Unrated”.
 6. Permanent classified employees receiving an overall rating of “Unrated” may

request a review in accordance with Section XI of this Policy.

H. Evaluation Completion Procedures

1. Complete the evaluation section of the PES form after 06/30, but prior to the 08/31 deadline – Employee given one (1) overall rating.
2. Documentation required to support evaluation of:
 - a. Needs Improvement/Unsuccessful
 - b. Exceptional
3. Evaluating Supervisor obtains approval/signature of Second Level Evaluator of the evaluation prior to discussion with employee.
4. Evaluating Supervisor meets with employee to discuss the evaluation.
5. Evaluating Supervisor and Employee sign/date the PES form. Supervisor keeps a copy, Employee is given a copy, and original completed/signed PES form is submitted to the Human Resources Department by required deadline.
6. Employee refuses to sign PES form – Evaluating Supervisor shall note the refusal on the PES form and record the date the evaluation session occurred. An employee cannot prevent the evaluation from becoming official by refusing to sign the form.

I. Employee Not Available to Sign Evaluation Prior to 08/31

1. Notification will be made by mail
2. Notification will be considered timely if mailed on or before 08/31 to the employee's most recent address according to HR records
3. Proof of mailing required
4. Business Unit must maintain documentation that the employee was notified on or before 08/31

J. Evaluating Supervisor Not Available to complete PES form:

1. The Second Level Evaluator or designee shall conduct evaluation sessions.

X. EFFECTS OF NEEDS IMPROVEMENT/UNSUCCESSFUL EVALUATION

- A. Not a disciplinary action

- B. Employee shall not be eligible for:
1. Performance adjustment
 2. Promotion
 3. Permanent status of classified employees
 4. Detailed to a higher level position (for classified employees, prior approval must be obtained from the Director of Civil Service; for unclassified employees, approval must be obtained from the HCSD Deputy CEO or designee)
 5. Employee may be separated or disciplined in accordance with applicable Civil Services rules and/or HCSD policy.
 6. Permanent classified employees receiving an overall rating of Needs Improvement/Unsuccessful may request a review in accordance with Sections XI and XII of this Policy.

XI. AGENCY REVIEW

- A. Permanent classified employees who receive an overall performance evaluation of “Unrated” or “Needs Improvement/Unsuccessful” may request an official review of that evaluation by an Agency Reviewer(s).
- B. Appointing Authority of each HCSD Business Unit shall designate the Agency Reviewer or an Agency Review Panel.
- C. The Reviewer shall not be either the Evaluating Supervisor or the Second Level Evaluator who signed the evaluation being reviewed.
- D. The official overall evaluation of “Unrated” or “Needs Improvement/Unsuccessful” may only be changed by the designated Agency Reviewer(s).
- E. Review Process
1. A request for review must be submitted in writing and be received in the Business Unit’s Human Resources Department no later than 09/15 following the evaluation year.
 2. The request must explain why the employee believes the rating should be reviewed and the employee must provide supporting documentation for the review.
 3. If received timely, the Reviewer(s) reviews request, evaluation, and supporting documentation.

4. Reviewer(s) meets with employee and Evaluating Supervisor – separately as applicable.
5. Reviewer(s) must provide written results of review no later than 10/15 to employee, Evaluating Supervisor, and Human Resources Department.
6. Any change in the evaluation rating as a result of the review, shall be retroactive to 07/01.
7. The evaluation, as well as the request for review, and any supporting documentation received with the request for review, or thereafter to support the decision, shall be maintained in the Human Resources Department secured files.

XII. REVIEW BY THE DIRECTOR OF CIVIL SERVICE

- A. A permanent classified employee who receives an overall performance evaluation of “Unrated” or “Needs Improvement/Unsuccessful” may request to have his performance file reviewed by the Director of Civil Service or designee only after the agency review has been completed.
- B. A request for review must be postmarked or received by the Director no later than 10 calendar days following the date the employee received the Agency Review decision.
- C. The request must explain why the employee is contesting the decision of the Business Unit’s Reviewer.
- D. If received timely, the Director or designee shall obtain and review the employee’s performance file. The Director may either affirm the overall evaluation or change the overall evaluation to “Unrated”. The Director’s decision shall be final.
- E. The Director shall provide a written decision to the employee, Evaluating Supervisor, and the Human Resources Department no later than 30 calendar days following the date the request for review was received.

XIII. GRIEVANCE PROCESS

The HCSD grievance process shall not be used to review or re-consider an evaluation on a procedural violation of this policy.

XIV. MAINTAINING THE PERFORMANCE DOCUMENTATION FILE

- A. A performance documentation file is maintained by the Evaluating Supervisor for each employee supervised. Documentation must be kept indefinitely for active employees and three (3) years for inactive employees.

- B. The file will contain a copy of the job description, performance documentation, supervisory comments, and PES form.
- C. The performance documentation file will include sufficient information to validate and justify the formal overall rating as of 06/30. Information may include:
 - 1. Work samples
 - 2. Attendance records
 - 3. Letters of complaint and/or commendation
 - 4. Training records
 - 5. Copies of counseling sessions
 - 6. Copies of memos, notices, or improvement plans
 - 7. Any notation on the PES form of any formal or informal discussion during the rating year
 - 8. For Evaluating Supervisors: Were PES's completed timely for their subordinate employee(s), both classified and unclassified?
- D. The performance documentation file is not a public record; therefore it should not be kept in a publicly accessible file.
- E. The performance documentation file is to be transferred with the employee from Evaluating Supervisor to Evaluating Supervisor as long as employee remains employed with the same HCSO Business Unit.

XV. RECORD KEEPING AND REPORTING REQUIREMENTS

- A. Each completed performance evaluation form shall be kept in the agency Human Resources Department or other designated, secure location not accessible to the public, and shall not be considered a public record.
- B. Completed PES forms must be kept indefinitely on active employees and for three (3) years on inactive employees.
- C. Completed forms must be available upon request for auditing purposes, to other state agencies for purposes of checking employment references and to the employee.
- D. Each Appointing Authority shall annually report to the Director of Civil Service information about evaluations given to classified employees during the previous year ending 06/30. The Director of Civil Service may require more frequent reporting as

needed. A copy of the annual report shall be submitted directly to Civil Service with a copy to Human Resources Administration.

XVI. EXCEPTIONS

Since this policy is developed in accordance with Chapter 10 of the Civil Service rules, only the Director of Civil Service may approve exceptions to those rules. The HCSD Deputy CEO or designee may make an exception to policy if not mandated by Chapter 10 of the Civil Service Rules.