

**Governor's Office of Homeland Security
and Emergency Preparedness
State of Louisiana**

JOHN BEL EDWARDS
GOVERNOR



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**Performance Evaluation System (PES)
Policy Number: HR-0013**

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Approval:


James B. Waskom, Director

I. POLICY

It is the policy of the GOHSEP to provide for a performance evaluation system that is used as a tool to help employees develop high performance by identifying supervisors' expectations, and by providing guidance for correcting any performance shortcomings.

Employees become eligible for a performance adjustment with an evaluation of "Successful" or "Exceptional." The Director may authorize performance adjustments to eligible employees, provided funds are available. Unless extraordinary circumstances occur, performance adjustments are 4% of the employee's pay rate, not to exceed the maximum of the pay range for the employee's job title.

II. PURPOSE

The purpose of this Policy Memorandum is to provide for uniform application of the Performance Evaluation System, and to serve as the planning and evaluation instruction manual for the Performance Evaluation System.

III. APPLICABILITY

This policy applies to all GOHSEP full-time employees.

IV. GENERAL INFORMATION

The Performance Evaluation System is designed to accomplish the following goals:

- To help employees and supervisors set performance expectations to develop high performance.
- To identify important performance factors for each employee's job.
- To encourage employees and supervisors to talk about work performance.
- To encourage supervisors to establish clear expectations.
- To document and measure performance of each individual employee.
- To reinforce good performance.
- To improve unsatisfactory performance.
- To determine each employee's eligibility for a performance adjustment in salary.

V. DEFINITIONS

- A. **Performance Evaluation** – an assessment of an employee's overall performance based on work tasks and behavior standards, resulting in the assignment of one of the three values:
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.
- B. **Performance Evaluation Year** – the time period on which an employee is evaluated; July 1st through June 30th of each year.
- C. **Performance Evaluation Period** – the time frame in which an Evaluating Supervisor has to prepare a performance evaluation, have it approved/signed by the Second-Level Evaluator, and review the evaluation with the employee (July 1st through August 31st following the performance evaluation year that just ended).
- D. **Performance Plan** – a list of work tasks and behavior standards expected of the employee. Work tasks and work behaviors are established by the Evaluating Supervisor, with the approval of the Second-Level Evaluator, based on the mission statement of the GOHSEP and the Office in which the employee is assigned.
- E. **Performance Planning Period** – the time frame in which an Evaluating Supervisor has to prepare a performance plan, have it approved/signed by the Second-Level Evaluator, and review the plan with the employee (July 1st

through September 30th following the performance evaluation year that just ended).

- F. **Evaluating Supervisor** – the immediate supervisor of the employee, as determined by the official position description (SF-3) on file in the Human Resources Office, unless the Director designates otherwise.
- G. **Second-Level Evaluator** – the second line supervisor in the chain of command of each section, unless otherwise designated by the Director. In the event the Assistant Deputy Director is the Evaluating Supervisor, the Chief of Staff shall serve as the Second-Level Evaluator, unless the Director designates otherwise.

VI. PROCEDURES

A. Performance Plan

1. Between July 1st and September 30th, the Evaluating Supervisor must determine the performance expectations for each of his/her assigned employees for the Fiscal Year.

The performance plan process is as follows:

- a. Prepare the performance plan document using the appropriate Performance Evaluation System-Planning and Evaluation form according to the employee's role as a **supervisor** or **non-supervisor**.
 - b. The GOHSEP requires a minimum of six expectations in the performance plan of all non-supervisory employees.
2. In addition to the four standard **behavior** expectations listed below, each employee shall have a minimum of two **work** expectations chosen from the bank of work expectations or as determined by the supervisor.
 - a. Reports to work on time and requests approval for leave and overtime in advance when possible.
 - b. Independently follows through on assigned tasks to completion and reports to supervisor without undue oversight; immediately notifies supervisor when problems arise. Willingly accepts new assignments, special projects and changes in procedures.
 - c. Maintains good working relationships and a spirit of teamwork in interactions with agency personnel.
 - d. Provides accurate and timely service to both internal and external clients and maintains a courteous and professional demeanor in all communications.

3. Further, in addition to the six otherwise required expectations, all supervisory employees will be evaluated on their demonstrated capacity for supervision using the following behavior expectations:
 - a. Uses good communication, documentation, observation and assessment skills to plan fairly and evaluate accurately the performance of each employee supervised.
 - b. Complies with all requirements relative to the Performance Evaluation System (PES) and the GOHSEP Personnel Policy No. HR-0013
 - c. Obtain the Second-Level Evaluator's signature approving the performance plan prior to presenting the plan to the employee for final signature;
 - d. Conduct a performance planning session with the employee.
 - e. During the planning session, the Evaluating Supervisor shall present the form to the employee and discuss the Work and Behavior standards on which the employee will be evaluated;
 - f. The Evaluating Supervisor and the employee shall sign and date the performance plan; and
 - g. The employee shall be given a copy of the completed form.
 - h. The Evaluating Supervisor shall deliver the signed original Performance Plan to the Human Resources Office for placement in the evaluated employee's personnel file.

4. In addition to the beginning of each Fiscal Year, performance planning sessions are required to be conducted during the first three calendar months following:
 - a. The appointment of a new employee; or
 - b. The permanent movement of an employee into a position having a different position number with significantly different duties.

5. The Evaluating Supervisor and the Second-level Evaluator may also conduct performance planning sessions throughout the performance evaluation year if the employee is assigned to a new Evaluating Supervisor, if expectations change or as deemed appropriate.

6. An Evaluating Supervisor who fails to conduct a proper performance plan session will not be eligible for a performance adjustment until the following fiscal year.

B. Performance Coaching

1. Over the course of the year, the Evaluating Supervisor monitors the performance of the employee based on the expectations given in the performance plan.
2. The Evaluating Supervisor should have ongoing communication with the employee, providing support, information, resources, training, and encouragement. A supervisor should raise concerns about performance as soon as the concerns are recognized to allow the employee to address the issues and change performance.

C. Performance Evaluation

1. Between July 1st and August 31st, the Evaluating Supervisor must determine what the overall performance has been for each of his/her assigned employees for the Fiscal Year that has just ended. The performance evaluation process is as follows:
 - a. Complete a Performance Evaluation System – Planning and Evaluation form, including any comments deemed appropriate by the Evaluating Supervisor.
 - b. Attach documentation to support an overall evaluation of “Needs Improvement/Unsuccessful” or “Exceptional.” (Documentation is not required for “Successful” evaluations.)
 - c. Obtain the Second-Level Evaluator’s signed approval of the performance evaluation prior to discussion with the employee.
 - d. Discuss the evaluation with the employee and present the evaluation form to the employee to be signed and dated.
 - e. Provide the employee with a copy of the completed form with the official overall evaluation noted.
 - f. The Evaluating Supervisor shall deliver the signed original Performance Evaluation to the Human Resources Office for the evaluated employee’s personnel file.
2. An Evaluating Supervisor may assign an employee an overall “Not Evaluated” only if all of the following conditions are met. An overall “Not Evaluated” has the same effect as an evaluation of “Successful.” The conditions are:
 - a. The employee is active as of June 30th, the end of the performance evaluation year, and
 - b. The employee has worked less than three months at the GOHSEP within the performance evaluation year, and

- c. The Director determines that not enough time has elapsed to create an evaluation for the employee.
3. An Evaluating Supervisor who fails to conduct a proper performance evaluation session within the established deadlines, thus causing an employee to be “Unrated” for the performance evaluation year will not be eligible for a performance adjustment until the following fiscal year.
 - a. The GOHSEP is committed to having a 0.0% Unrated rate.
 - b. The Evaluating Supervisor must indicate “Unrated” on the performance evaluation form and notify the employee of such. For the unrated employee, the “Unrated” evaluation has the same effect as an evaluation of “Successful”; penalty for the Evaluating Supervisor is loss of eligibility for any performance adjustment until the following fiscal year.

VII. SIGNATURE ISSUES

- A. Sequencing of Signature – The date affixed to the Evaluating Supervisor’s and employee’s signatures must be the same. The date of the Second-Level Evaluator must be on or before the date of the Evaluating Supervisor’s and employee’s signatures. This is applicable to both the plan and evaluation.
- B. Employee Refusal to Sign – If an employee refuses to sign a PES Planning and Evaluation form (whether it be for a performance plan or performance evaluation), the Evaluating Supervisor shall note this on the form and record the date that the planning or evaluation session occurred. An employee’s refusal to sign the form does not prevent the planning or evaluation from becoming official.
- C. Employee Unavailable to Sign – When an employee is unavailable to sign a PES Planning and Evaluation form (whether it be for a performance plan or performance evaluation), the Evaluating Supervisor must notify the Deputy Director and the Human Resources Office so that the form may be mailed to the employee’s most recent address. The form must be mailed on or before the deadline (for performance plan, 9/30; for performance evaluation, 8/31 or the date set earlier by the Director), as evidenced by an official proof of mailing receipt from the U.S. Post Office. Then, this receipt is attached to the PES form, which is placed in the employee’s personnel file in Human Resources.

VIII. AGENCY AND SECTION SPECIFIC REQUIREMENTS

The objective of the PES system is to align individual goals and expectations to the agency’s goals. In furtherance of this objective, it is required that the following

standardized language be utilized on all performance plans and performance evaluations.

A. Agency Mission

The mission of the Governor's Office of Homeland Security and Emergency Preparedness is to ***lead and support Louisiana and its citizens in the preparation for, response to, and recovery from all emergencies and disasters.***

B. Division/Section Mission/Goals

Division and Section mission and goals should be developed and approved by the Deputy Director, Chief of Staff for the Executive Office and the Division Assistant Deputy Director and the Section Chief/equivalent position as applicable.

IX. AGENCY REVIEW

- A. An employee who receives an overall performance of "Unrated" or "Needs Improvement/Unsuccessful" may request an official review of the evaluation by the Agency Reviewer, as designated by the Director.
- B. The Agency Reviewer shall not be either the Evaluating Supervisor or the Second-Level Evaluator who signed the evaluation.
- C. Employees who are within the six month probational period and those receiving a "Not Evaluated," "Successful," or "Exceptional" evaluation are not eligible to request an Agency Review.
- D. The overall evaluation may only be changed by the Agency Reviewer.
- E. Process for an agency review:
 - 1. The employee submits a written request for agency review on the PES Request for Review Form to the Employee Relations Administrator and submits a copy to Human Resources Office, postmarked or received no later than September 15 following the performance evaluation year. The request must include the employee's explanation and supporting documentation for the request of the review.
 - 2. If the request is not timely, it may be dismissed by the Director without further review.

3. If timely, the Agency Reviewer must review the employee's request, the evaluation given and any supporting documentation provided. The Agency Reviewer must also discuss the contested evaluation with the employee and the Evaluating Supervisor.
4. The Agency Reviewer shall give the employee, the Evaluating Supervisor and the Human Resources Office written notice of the results of his/her review no later than October 15th. Any change in the evaluation shall be retroactive to July 1st.
5. All documentation related to the Agency Review, including any supporting records provided by the employee and/or Evaluating Supervisor, must be maintained in the employee's personnel file in the Human Resources Office.

X. MANDATORY TRAINING

- A. All GOHSEP supervisors must complete the following four e-learning courses through Louisiana Employees Online (LEO) system.
 1. CPTP PES Basics
 2. CPTP PES Planning Process
 3. CPTP PES Evaluation Process
 4. CPTP PES Forms
- B. New supervisors will be required to complete these same courses within 90 days of hire or promotion/appointment to the supervisory position.

XI. RESPONSIBILITY

All employees are responsible for complying with all aspects of this policy.

XII. EXCEPTIONS

In the event that budgetary constraints prevent implementation of the performance adjustments, performance evaluations continue to be required. Any requests for exceptions to this policy must be justified, documented and submitted to the Director for consideration.

XIII. GRIEVANCE PROCESS

The GOHSEP Grievance Process shall not be used to review or reconsider evaluations or a procedural violation of these rules.

XIV. QUESTIONS

Questions regarding this policy should be addressed to the Human Resources Office.

XV. VIOLATIONS

An Evaluating Supervisor and/or Second-Level Evaluator's failure to administer any component of the Performance Evaluation System in accordance with this policy may result in the Evaluating Supervisor and/or Second-Level Evaluator not being eligible for a performance adjustment until the following fiscal year.