 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

I. STATEMENT OF POLICY

It is the policy of the Department of Children and Family Services to evaluate the work performance of all classified employees in compliance with [Chapter 10](#) of the Civil Service Rules using the Civil Service Performance Evaluation System (PES). The system places emphasis on linking individual performance goals to overall agency goals and strengthening review requirements to enhance uniform application of performance standards.

This policy shall apply to all classified employees of the Department of Children and Family Services (including temporary and part-time employees) and unclassified employees who “are either responsible for conducting PES Planning and Evaluation for a classified employee or who are in the direct line of supervision of such evaluating supervisors.”

For the purposes of this policy, the word “performance” covers all aspects of employment including job duties, conduct, and attendance. When evaluating employees’ performance, the Department will not discriminate against employees who have used the Family and Medical Leave Act (FMLA). This means that the taking of FMLA leave cannot be used as a negative factor in employment actions (such as hiring, promotions or disciplinary actions) nor be considered in the evaluation of an employee's performance.

II. PROCEDURES


Implementation

This policy is effective July 1, 2012. Subsequent revisions will become effective on the date the Secretary of the Department has approved and signed the revisions. Civil Service rule changes, however, which mandate DCFS policy revisions supersede Department policy and become effective the date approved by the Civil Service Commission.

Responsibilities

Appointing Authority

The Appointing Authority of each Division will be responsible for assuring that the Performance Evaluation System is implemented and administered consistently with Department policy and Civil Service Rules. An employee’s performance evaluations shall be used by appointing authorities when selecting employees for promotion and determining whether employee performance warrants a performance adjustment.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

Human Resources Section

The Human Resources Section will be responsible for providing guidance and assistance to agency officials, managers, supervisors, and employees in all matters relating to this policy. The DCFS Human Resources Director will monitor the system with emphasis placed on detection of factors such as disparate treatment, inconsistency and noncompliance with Civil Service Rules and Department policy.

Evaluating Supervisor

Unless designated otherwise, the Evaluating Supervisor shall be the employee's immediate supervisor. The Evaluating Supervisor shall be responsible for administering the performance evaluation system for his designated employees in accordance with [Chapter 10](#) of the Civil Service Rules and this policy. The Evaluating Supervisor is required to plan with the employee, provide performance feedback throughout the evaluation period, document that communication, and evaluate the employee's performance on the official [SCS Performance Evaluation System Form](#).

Second-Level Evaluator


The Second-Level Evaluator shall be the Evaluating Supervisor's supervisor. The Second-Level Evaluator must approve the performance plan and the performance evaluation prepared by the Evaluating Supervisor before they are discussed and given to the employee for signature.

The Second-Level Evaluator shall be responsible for administering the Performance Evaluation System in accordance with the Civil Service Rules and Department policy.

Consequences of Evaluating Supervisor or Second-Level Evaluator's Failure to Timely Conduct Planning or Evaluation

In accordance with [Civil Service Rule 10.2\(b\) and \(c\)](#), failure of the Evaluating Supervisor or the Second-level Evaluator to administer the Performance Evaluation System in accordance with Civil Service Rules or Department policy shall result in his not being eligible for a performance adjustment for that year. Unclassified employees, who are either the Evaluating Supervisor for a classified employee or who are in the direct line of supervision of such an Evaluating Supervisor, are also ineligible for a pay increase if they fail to administer the Performance Evaluation System in accordance with Civil Service Rules or Department policy.

Additionally, the Evaluating Supervisor and/or Second-Level Evaluator who fail to timely complete a PES Planning and Evaluation Form for either a Planning or an Evaluation as required by Civil Service Rules or this policy shall receive a "Needs Improvement/Unsuccessful

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

evaluation for that performance expectation and a written reprimand for the first violation. Disciplinary action may be invoked if there are multiple violations.

Position Descriptions

All classified employees must have a copy of the “official” Position Description ([SF-3](#)) Form for the position they occupy. Position descriptions must accurately reflect the duties and requirements of the job. Employees are rated on the performance of those duties as well as any written performance expectations. **It is the supervisor’s responsibility to update position descriptions to ensure they are accurate at all times and to provide employees with a copy of their position description.**

Mandatory Training – All DCFS Employees

All classified and unclassified state supervisors (up to and including the DCFS Secretary) will be **required** to complete the following three (3) PES courses **by December 31, 2012**:

- * CPTP PES Basics (15 – 20 minutes)
- * CPTP PES Planning Process (45 – 60 minutes)
- * CPTP PES Evaluation Process (45 – 60 minutes)


New supervisors (classified and unclassified) will be **required** to complete these same courses **within 90 days** of hire or promotion/appointment to the supervisory position or by December 31, 2012, whichever is later. These e-learning courses provide users with an in-depth look at the PES process in its entirety. E-learning allows learners to access courses wherever and whenever needed. These courses can be accessed from LEO My Training in the Comprehensive Public Training Program > Web Courses catalog.

If a supervisor is required to issue a PES Planning or Evaluation before s/he has had an opportunity to complete the training, the supervisor shall carefully review this policy as well as the DCFS on-line Supervisors' Personnel Management Handbook and/or consult with his/her supervisor or a State Office Human Resources professional for additional guidance.

All non-supervisory classified and unclassified employees (except Students and WAE's) are also **required** to take these courses **within 90 days** of hire or by December 31, 2012, whichever is later. The PES Basics course is designed for all employees. There are also short sections in the PES Planning Process and PES Evaluation Process courses designed for non-supervisory employees.

Performance Evaluation Year

The performance evaluation year shall be July 1st through June 30th of each year for all employees regardless of their date of hire or any position movements (e.g., promotion, lateral, detail to special duty, etc.).

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

Performance Evaluation System; Required Components

The Performance Evaluation System is a tool used to measure individual performance and to develop employees into high-performing individuals. The Performance Evaluation System shall consist of at least the following components:

- A performance plan that lists the performance factors on which the employee's overall performance will be evaluated,
- A planning session at which the evaluating supervisor and the employee discuss the performance plan,
- A standard planning and evaluation form approved by the Civil Service Director,
- A three-level evaluation system; and
- Planning and evaluation [information](#) that is accessible to all employees.

(Note: No variations may be made to the [Performance Planning and Evaluation Form](#) or instructions unless prior approval has been requested by the DCFS Secretary or Undersecretary **and** approved by the Civil Service Director.)

Performance Evaluations

Each employee shall be evaluated on his overall performance based on work tasks and behavior standards determined by the Evaluating Supervisor to be requirements of the employee's job.

Each supervisory employee shall be evaluated on his administration of the performance evaluation system.


Performance Plan and Performance Planning Session

The Evaluating Supervisor shall prepare a performance plan at the beginning of each evaluation period. The performance plan shall list work tasks and behavior standards on which the employee's overall performance will be evaluated. These standards shall be recorded on the [Performance Evaluation System \(PES\) Planning and Evaluation Form](#).

The Evaluating Supervisor shall obtain the Second-Level Evaluator's signature approval on the PES Planning and Evaluation Form prior to presenting it to the employee for final signature.

After obtaining the Second-Level Evaluator's signature approval of the performance plan, the Evaluating Supervisor will conduct a performance planning session with the employee.

During the planning session, the Evaluating Supervisor shall present the performance planning and evaluation form to the employee and discuss the performance requirements.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

The Evaluating Supervisor and the employee shall sign and date the performance planning and evaluation form to document the planning session.

The employee shall be given a copy of the form. Should the employee decline to sign the performance planning and evaluation form, the Evaluating Supervisor shall note this on the form and record the date that the planning session occurred. An employee cannot prevent the planning session from becoming official by refusing to sign the form.

Evaluating Supervisors shall send a copy of the completed planning form to the State Office Human Resources Section and keep the original Performance Planning and Evaluation form documenting the planning session in the employee's productivity file they maintain for use later when conducting the Evaluation session at the end of the rating year.

If an employee has been on a leave of absence and because of such is not present at work, the Evaluating Supervisor shall timely complete the planning form, mail a copy of it to the employee's current mailing address listed in the LaGov HCM system with a "Certificate of Mailing" from a U. S. Post Office, retain the original performance planning form along with the original Certificate of Mailing, and forward a copy of each to the State Office Human Resources Section.


Performance planning sessions **shall** be conducted within the first thirty (30) calendar days following: the appointment of a new employee and the **permanent** movement of an employee into a position having a **different position number with significantly different duties**. (Because Details are not permanent actions, conducting a performance planning session is not required.)

Performance planning sessions **shall** be conducted during the first three **(3) calendar months** following the beginning of each **new performance evaluation year** (no later than 9/30 each year) for employees **remaining in their same position**.

Please note that the planning timelines listed above for items #1 and #2 are shorter than that which is allowed by Civil Service rules. This is because DCFS wants its newly hired employees and those who move into a different position with significantly different duties by permanent action to be advised of their performance requirements for his/her new job as soon as possible.

A performance planning session **may** be conducted when:

1. the employee gets a new Evaluating Supervisor,
2. performance expectations change, or
3. the Evaluating Supervisor deems a performance planning session is appropriate.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

MANDATORY PERFORMANCE REQUIREMENTS:

All PES Planning Session Forms **shall** contain [DCFS Department, Divisions, and Sections' Mission Statements](#), as applicable to each position.

All PES Planning Session Forms **shall** contain the [DCFS Mandatory Performance Expectations](#) as applicable to each position. (All PES Planning Session Forms shall include performance expectations for all positions; supervisory-level positions shall include performance expectations for all positions in addition to those for supervisory positions; and management-level positions shall include the performance expectations for all positions and the supervisory positions in addition to those for management-level positions.)

[Agency-Specific Performance Expectations Recommended for Consideration](#) **may** be used in the PES Planning Session form. These are provided to assist supervisors and managers in establishing performance expectations for agency-specific positions. (Agency-Specific positions shall include the performance expectations for all positions in addition to job-specific ones, either that recommended above and/or others as deemed appropriate by the Rating Supervisor and Second-Level Rating Supervisor.)

Rating Supervisors may include **additional** job-related performance expectations as determined necessary to ensure successful performance of the individuals in positions under his/her area of responsibility.

OVERALL PERFORMANCE EVALUATION

At the end of the performance evaluation period, the Evaluating Supervisor shall assign one of the three values listed below to the employee's overall performance based upon the work tasks and behavior standards established in the performance plan.


Exceptional: Work **and** behavior consistently exceeded the performance criteria.

Successful: Work **and** behavior met the performance criteria.

Needs Improvement/Unsuccessful: Work **and/or** behavior did not meet the performance criteria.

An Evaluating Supervisor **may** elect to assign an employee who worked less than three calendar months within the performance evaluation year a default overall evaluation of **"Not Evaluated."** The Evaluating Supervisor **shall** either render a rating indicative of the employee's performance or a "Not Evaluated" evaluation. An overall evaluation of "Not Evaluated" shall have the same effect as an evaluation of "Successful." "Not Evaluated" evaluations may be given **only** when:

1. the employee is active as of June 30th, the end of the performance year, **and**

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

2. the employee has worked less than three (3) months at DCFS within the performance year, **and**
3. the appointing authority determines that not enough time has elapsed to create an evaluation for the employee.

An “**Unrated**” evaluation shall only be rendered by a State Office **Human Resources representative** in the Human Resources Section. When an evaluation is in violation of these rules, the employee shall receive an overall evaluation of “**Unrated**.” “Unrated” evaluations shall have the same effect on the employee as an evaluation of “Successful.”


Quarterly Performance Reviews and Review Session

Performance **Reviews** are required for **all** classified and unclassified employees (except students and intermittent workers--WAEs). The Evaluating Supervisor shall base the review on the employee’s performance on the work tasks and behavior standards as stated on the performance planning and evaluation form. Only evaluations of Exceptional, Successful, or Needs Improvement/Unsuccessful are available for rendering performance Reviews.

Reviews **shall** be made after the performance quarter has ended and must be rendered during the first month into the new quarter as outlined below :

Performance Review Period Each Year	Review Session Conducted
July 1 – September 30	No Quarterly Review required; <i>Only the PES Planning is required during this quarter</i>
October 1 – December 31	January 1 – January 31
January 1 – March 31	April 1 – April 30
April 1 – June 30	No Quarterly Review required; <i>the entire previous performance period (July 1 – June 30) will be officially Evaluated in the forthcoming fiscal year 7/1 - 8/30</i>

These reviews shall be completed on the DCFS Performance Review Form ([Adobe version/Word version](#)) but shall **not** be submitted to the State Office Human Resources Section for recording in the LaGov HCM system because these are not the official evaluation for the entire evaluation year.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

To render a quarterly performance review, the Evaluating Supervisor **shall**:

1. timely complete a Performance Review form for the applicable review period,
2. provide and **attach** documentation to support an evaluation of “Needs Improvement/ Unsuccessful” or “Exceptional,”
3. obtain the Second-Level Evaluator’s signed approval of the Review form prior to discussion with the employee;
4. discuss the Review with the employee and present the Review form to the employee to be signed and dated; the Evaluating Supervision shall keep the original Review form;
5. give a copy of the Review form along with supporting documentation, if required, to both the employee and the Second-level Evaluator.

Should the employee decline to sign the performance evaluation form, the Evaluating Supervisor shall note this on the form and record the date that the evaluation session occurred. An employee cannot prevent the review from being rendered by refusing to sign the form.


When an employee worked the majority of the Review period but is not available to timely receive his Review in person, the provisions of this requirement shall be satisfied when a copy of the completed DCFS Performance Review Form is mailed to the employee’s most recent address any day in January (for performance period October – December) and/or any day in April (for performance period January – March) via United State Postal Service with official proof of mailing (i.e., Certificate of Mailing). The Evaluating Supervisor shall retain the original Review Form along with any required attachments and the Certificate of Mailing and provide a copy of such to the Second-level Evaluator.

If the employee did not work the majority of the Review period, the review and review session need not be conducted. This should be documented and placed in the employee’s supervisory file to justify the absence of a Review Session.

If an Evaluating Supervisor is on a leave of absence and as a result unavailable to timely conduct a performance review, then the Second-level Supervisor shall conduct it.

The Human Resources Director or his/her designee **shall** send a message via state email system reminding Evaluating Supervisors to conduct these (quarterly) Performance Reviews as the end of each performance period approaches and send a second reminder prior to the Review session deadline.

Each Division/Section/Bureau Director and Regional Administrator shall follow up and report the completion of these Performance Reviews for staff under their organizational jurisdiction for each required period to their Appointing Authority and the Human Resources Director no later than February 15 and May 15 respectively.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

Official Performance Evaluations and Evaluation Sessions

Official performance evaluations are required for **all** classified and unclassified employees (except students and intermittent workers--WAEs). Although evaluating students and intermittent workers are not a requirement, it is recommended as a best practice management tool. The Evaluating Supervisor shall base the official evaluation on the employee's performance on the work tasks and behavior standards as stated on the performance planning and evaluation form.

Official evaluations **shall** be made **after the performance year has ended and must be rendered no earlier than July 1st and no later than August 31st**. (All official overall evaluations will be recorded in the LaGov HCM system by authorized State Office Human Resources staff with an effective date of July 1st.)

Evaluations become official on the date they are rendered. No evaluations shall be rendered after August 31st. To render an official evaluation, the Evaluating Supervisor **shall**:

Complete a [DSCS PES Planning and Evaluation form](#) after June 30th of the evaluation year;

Provide and **attach** documentation to support an evaluation of "Needs Improvement/Unsuccessful" or "Exceptional". Also attach the two quarterly Performance Review forms that were completed and discussed with the employee earlier in the performance year to the [PES Planning and Evaluation form](#).


Performance Comments are mandatory for all evaluation levels to support and explain to the employee why his/her performance received the rating rendered.

Note: In order to maintain **client confidentiality**, performance comments made of specific cases shall contain only the client's initials and/or case number and not the client's name nor names of family members. Attached supporting documents containing the clients' identity shall be redacted, leaving only the client's initials and/or case number showing.

Obtain the Second-Level Evaluator's signed approval of the [Evaluation form](#) prior to discussion with the employee,

Discuss the evaluation with the employee and present the Evaluation form to the employee to be signed and dated; give the employee a copy of the Evaluation form with his official overall evaluation noted, along with any required documentation;

Immediately after the Evaluation Session, submit the original DSCS Performance Evaluation System Planning and **Evaluation** Form along with any required documentation and the Review Forms completed earlier in the performance year to the State Office Human Resources Section.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

Should the employee decline to sign the performance evaluation form, the Evaluating Supervisor shall note this on the form and record the date that the evaluation session occurred. An employee cannot prevent the evaluation from becoming official by refusing to sign the form.

When an employee is not available to timely receive his Evaluation in person, the provisions of this requirement shall be satisfied when a copy of the completed [PES Evaluation form](#) is mailed to the employee's most recent address on or before August 31st via United State Postal Service with official proof of mailing (i.e., Certificate of Mailing). The Evaluating Supervisor shall retain a copy of the [PES Evaluation form](#) along with a copy of the Certificate of Mailing, and forward the original Evaluation Form and original Certificate of Mailing to the State Office Human Resources Section.

Evaluations of "Unrated" shall be indicated on the final overall performance evaluation form by the Evaluating Supervisor, Second-Level Evaluator, or Human Resources Director (or his/her designee). An employee shall be notified when he has been assigned an official overall evaluation of "Unrated".

Effects of the Official Needs Improvement/Unsuccessful Evaluation


An evaluation of "Needs Improvement/Unsuccessful" is not a disciplinary action. Any employee whose official overall evaluation is "Needs Improvement/Unsuccessful" shall **not** be:

- eligible for a performance adjustment, a promotion or permanent status, or
- detailed to a higher-level position unless approved in advance by the Director of Civil Service.

An employee whose official overall evaluation is "Needs Improvement/Unsuccessful" may be separated or disciplined in accordance with the rules applicable to the employee's status. Employees with permanent status shall have a right to request a review in accordance with the provisions listed in the "**Agency Review**" section of this policy.

Effect of the Absence of an Official Evaluation

An employee who is not evaluated in accordance with the provisions of these rules shall have an official overall evaluation of "**Unrated**" on the evaluation effective date of July 1st. Employees with permanent status shall have a right to request a review in accordance with the provisions listed in the "**Agency Review**" section of this policy.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

Record Keeping and Reporting Requirements

Each completed official performance evaluation form (for the entire evaluation period) shall be kept in the State Office Human Resources Office in a secure location not accessible to the public, and shall not be considered a public record. Completed forms must be available upon request to the Department of Civil Service and other official auditing entities for auditing purposes, to other agencies of the State of Louisiana for purposes of checking employment references and to the employee. Evaluation Supervisors shall keep these completed forms for no less than three years after their supervisory relationship with the employee has ended.

The Human Resources Section shall annually report to the Director of Civil Service, in such manner as the Director prescribes, information about evaluations given during the previous year ending June 30th.

Agency Review

An employee with permanent status who receives an official overall annual performance evaluation of “Unrated” or “Needs Improvement/Unsuccessful” may request an official review of that evaluation by an Agency Reviewer(s).


The Department Secretary, Deputy Secretary of Programs, Deputy Secretary of Operations and Undersecretary shall designate the Agency Reviewer or an Agency Review Panel for their respective divisions. The Reviewer(s) shall not be either the Evaluating Supervisor or the Second-Level Evaluator who signed the evaluation being reviewed.

The official overall evaluation may only be changed by the Agency Reviewer(s).

A request for review must be submitted in writing using the [Request for Review Form](#) and be postmarked or received in the State Office Human Resources Section no later than September 15th following the evaluation year. In the request for review, the employee must explain and provide supporting documentation for the request for review.

If the request for review is timely, the Agency Reviewer(s) must review the employee's request, the evaluation given and any supporting documentation provided. The contested evaluation must be discussed with the employee and the Evaluating Supervisor.

The Agency Reviewer(s) shall give the employee, the Evaluating Supervisor, Second-level Evaluator, and the Human Resources office written notice of the results of their review. This notification shall be provided no later than October 15th. Any change in evaluation shall be retroactive to July 1st.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

The performance evaluation form, the employee's request for review, the Agency Reviewer(s)' decision, and the supporting documentation attached to the performance evaluation, as well as any documents requested from the employee or supervisor during the review, shall be maintained in the employee's official personnel file or other secured performance file maintained in Human Resources.

Request For Review By The Director of Civil Service

A permanent employee who receives an evaluation of "Needs Improvement/Unsuccessful" following an Agency Review may request to have his performance file reviewed by the Director or the Director's designee.

A request for review under this rule must be postmarked or received by the Director no later than 10 calendar days following the date the employee received the Agency Review decision. In the request, the employee must explain why he is contesting the decision of the Agency Reviewer(s).

If the request for review is timely, the Director or his 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.

The Director shall provide a written decision to the employee, the Evaluating Supervisor, and the Human Resources Officer no later than thirty (30) calendar days following the date the request for review was received.

EXCEPTIONS

The Civil Service Director may approve exceptions to the rules governing the PES.


GRIEVANCE PROCESS

The agency's grievance process shall not be used to review or reconsider evaluations or a procedural violation of these rules.

Performance Observation and Documentation

Observing and documenting employee performance is essential. During the evaluation period, supervisors should do the following:

- Compliment employees on the things they do well

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

- Point out things that should be done better – offer suggestions for making improvements and follow-up at set times to see if improvements have been made
- Schedule “semi-formal” quarterly reviews with each employee as outline in the section “Quarterly Performance Reviews and Review Sessions” earlier in this policy. This gives the supervisor an opportunity to check progress on performance expectations set previously, make any needed adjustments, and provide feedback to the employee on their current performance thus far in the rating period. Documentation of the performance reviews is essential.
- Keep a written log of employees’ work performance and log examples of performance at least on a monthly basis. Supervisors should also maintain copies of work products, correspondence, etc., that demonstrate work performance with this log. ([Performance Notes Form](#))

Granting Permanent Status

DCFS requires that a completed PES Performance Planning and Evaluation Form accompany each recommendation regarding the granting of permanent status. (Refer to [Policy 4-29, Permanent Status Attainment](#).) In most cases, this will be an “unofficial” evaluation (not entered into LaGov HCM) if it is completed and conducted outside of the official evaluation period.


Employees Under Investigation For Misconduct

Based upon the completeness of the investigation process at the time of the evaluation, specific notes about performance of an employee under an ongoing investigation for misconduct will be reflected provided the supervisor has the facts to support a decision of misconduct.

Supervisors shall **not** include in the evaluation or make comments on the form when an ongoing investigation has not yet revealed any facts to support a decision of misconduct.

Effects of “Needs Improvement/Unsuccessful” Evaluation

A PES Evaluation of “Needs Improvement/Unsuccessful” is not a disciplinary action. An employee whose performance is unacceptable or substandard should be disciplined at the time the substandard performance occurs in accordance with [DSS Policy 4-7, Disciplinary Corrective Actions and Separations](#).

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

Employees with a “Needs Improvement/Unsuccessful” evaluation may generally be **job corrected or reallocated** since these actions are based on the duties assigned the job title or position, respectively, and are not dependent upon or related to the quality of the performance of those duties by the incumbent. For reallocations within a career progression series, however, the Appointing Authority should use the PES as justification and documentation to deny reallocation to the next level in the career progression series. The requirements for moving up in a career progression series include, but are not limited to, a measure of both quality of performance of assigned duties and the duties themselves.

Performance Improvement Plans: An employee who receives a Needs Improvement/Unsuccessful evaluation may be placed on a supervisory work plan or may be issued a performance improvement directive letter. Supervisory work plans (also known as supervisory plans and performance improvement plans) or performance improvement directive letters are management tools used by supervisors in conjunction with the PES system, and/or whenever special attention is necessary in order to assist employees in meeting established performance expectations. Supervisory plans and performance improvement directive letters are not disciplinary actions, and should not be considered as such. In accordance with [Civil Service Rule 12.9](#), however, supervisory plans and letters of improvement may only be issued by Appointing Authorities (or supervisor with officially delegated appointing authority status.)


When an employee is disciplined for an aspect of performance reflected on the rating form, the form may be referenced in the disciplinary action letter.

Eligibility for Performance Adjustments

An employee who is in active status as of June 30 of the performance evaluation year becomes eligible for and may be granted a performance adjustment (formerly known as merit increase), provided that the appointing authority has determined his performance merits such an adjustment.

After an employee has attained eligibility for and the appointing authority has granted a performance adjustment, it shall be disbursed effective October 1st of the calendar year that the performance adjustment was granted.

With respect to any employee, however, a supervisor does not have to recommend the granting of a performance adjustment just because an employee has earned an overall Successful Evaluation or better. The performance adjustment may be withheld because one or more performance expectations have not been fully or consistently met (i.e., improvement is needed) as noted on the PES form. In general, a Needs Improvement/Unsuccessful rating for one or more performance expectations is sufficient justification for the performance adjustment not to be granted. The Evaluating Supervisor should provide the employee with a notice notifying him/her of the reasons for the performance adjustment not being granted.

 Department of Children & Family Services <i>Building a Stronger Louisiana</i>	Division/Section	Executive Division
	Chapter No./Name	DCFS Departmental Policy
	Part No./Name	4-Human Resources
	Section No./Name	4-40 Employee Performance Evaluation System
	Document No./Name	4-40 Employee Performance Evaluation System
	Effective Date	July 1, 2012

Records Retention

The PES form is a **private** record and must be maintained in a confidential file by the Human Resources office as long as the employee is employed by the agency. Upon separation of employment, the file must be maintained for five (5) calendar years from the date of separation. Any supervisory files related to the PES process should be maintained by the supervisor as long as the supervisory relationship exists plus one calendar year from the date that this relationship is terminated.

Exceptions

In accordance with [Civil Service Rule 10.17](#), the Secretary may request the Director of Civil Service to approve exceptions to [Civil Service Chapter 10 rules](#) for compelling reasons.

III. FORMS AND INSTRUCTIONS

DCFS Quarterly Performance Review Form ([Adobe version](#)/[Word version](#) and Instructions)
[SCS Performance Evaluation System \(PES\) Planning and Evaluation Form](#)
[PES Performance Notes Form](#)
[PES Development Tool](#)
[PES Request for Review](#)

IV. REFERENCES

[DCFS Department, Divisions, and Sections' Mission Statements](#)
[DCFS Mandatory Performance Expectations](#)
[DCFS Agency-Specific Performance Expectations Recommended For Consideration](#)
[Civil Service Rules – Chapter 12, Chapter 10](#)
[PES Training](#)
[Performance Evaluation System \(PES\) FAQs](#)