



HUMAN RESOURCES

Performance Evaluation System

Policy Number: B-020

10 May 2013

1. **AUTHORITY:** Director of State Civil Service as contained in Civil Service Rules Chapter 10: Performance Evaluation System.
2. **PURPOSE:** The Performance Evaluation System (PES) is a tool used to measure individual performance and to develop employees into high performing individuals. As such, State Civil Service (SCS) is committed to utilizing the PES process to meaningfully communicate with employees while adhering to the requirements imposed by Chapter 10 of the Civil Service Rules.
3. **APPLICABILITY:** This policy shall apply to all employees of State Civil Service.
4. **POLICY:** Supervisors of SCS will use the Performance Evaluation System to timely plan and rate the performances of their subordinates in accordance with the provisions of Chapter 10, and will consider these ratings when reaching various management decisions.
5. **DEFINITIONS:**
 - A. **Performance Plan** – The document that records the work tasks and work behaviors 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 SCS mission statement, division goals, and the employee’s role in fulfilling the goals and mission.
 - B. **Performance Evaluation** – The official, overall evaluation of the performance of an employee for the fiscal year, measured against the performance plan.

An employee will be evaluated as:

Exceptional – Work and behavior consistently exceeded the performance criteria.

Successful – Work and behavior meet the performance criteria.

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

In cases where an employee has been in a position fewer than three months or has been at work fewer than three months during the performance period due to extended absence, a designation of “**Not Evaluated**” will be allowed. For the employee, a “Not Evaluated” designation will have the same effect as an evaluation of “Successful”.

The performance of an employee will be designated as “**Unrated**” when the employee does not receive an evaluation, the evaluation is untimely, or the evaluation contains some other technical violation of applicable Civil Service Rules. For the employee, an “Unrated” designation will have the same effect as an evaluation of “Successful”.

- C. Evaluating Supervisor** – The immediate supervisor will be the evaluating supervisor unless otherwise designated by the Division Administrator or Director. This individual is responsible for administering the performance evaluation system for his/her designated employees. An evaluating supervisor who fails to administer the performance evaluation system in accordance with Civil Service Rules shall not be eligible for a performance adjustment for that year, regardless of the evaluating supervisor’s own rating.
- D. Second Level Evaluator** – This individual is responsible for administering the performance evaluation system in accordance with Chapter 10 of the Civil Service Rules and SCS policy. A second level evaluator who fails to administer the performance evaluation system in accordance with Civil Service Rules shall not be eligible for a performance adjustment for that year, regardless of the second level evaluator’s own rating. In SCS, the second level evaluator will be the supervisor of the evaluating supervisor.
- E. Department Performance Standards** – Performance standards established by the Director of SCS for each level of employee within the department. E.g., supervisors, administrators, employees, etc.
- F. Supervisor Performance Standards** – Performance standards established by an employee’s direct supervisor that is in addition to or different from the department performance standards established by the Director.

6. PROCEDURE:

A. Performance Plan

1. A Performance Plan is required for each employee.
 - a. For all new employees, a Performance Plan must be conducted within 3 calendar months of hire.

- b. For all employees, a yearly planning session must be conducted no later than September 30.
- c. For employees who move permanently into a position having a different position number with significantly different duties, a new planning session must be conducted within 3 calendar months of transferring into the new position.
- d. When an employee gets a new evaluating supervisor or when performance expectations change, a performance planning session may be conducted.
- e. Planning expectations may be revised during the performance year. Any changes must be initialed and dated by both the supervisor and the employee.

2. How to do a Planning Session

- a. The evaluating supervisor establishes the expectations upon which the employee's performance will be evaluated in the performance plan document. These expectations must include the required behavioral work tasks and expectations for all SCS employees. The evaluating supervisor shall add expectations as necessary. Further, all supervisory employees will be evaluated on the department standards established for supervisors and their demonstrated capacity for supervision.
- b. The evaluating supervisor submits the performance plan document to the second level evaluator for assessment and approval prior to conducting a formal, private meeting with the employee to discuss the plan.
- c. The performance plan is discussed, signed and dated by the supervisor and employee.
- d. The original, signed performance plan is sent to the Human Resources Office. A copy of the performance plan is kept in the evaluating supervisor's productivity file for that employee. A copy must be given to the employee.

B. Performance Coaching

1. Over the course of the year, the evaluating supervisor should monitor the performance of the employee based on the expectations given in the performance plan.
2. The evaluating supervisor should have on-going communication with the employee, providing support, information, resources, training, and encouragement. Concerns about performance should be raised as soon as they are recognized to allow the employee to address the issues and change the performance.

C. Performance Evaluation

1. Each employee shall be evaluated on his overall performance based on work tasks and behavioral standards determined by the evaluating supervisor. The evaluation period for all employees is July 1 – August 31.

An evaluation which is found not to be in compliance with the rules contained in Civil Service Chapter 10 will be “Unrated.” For the employee, an evaluation which is “Unrated” has the same effect as a “Successful” evaluation. The employee must be notified when an evaluation has been determined to be “Unrated.”

2. To create an official performance evaluation, the evaluating supervisor shall:
 - a. Complete the evaluation form, including comments and documentation.
 - b. Submit the proposed evaluation to the second level evaluator for approval and signature.
 - c. Hold a private meeting with the employee to discuss the evaluation.
 - d. Sign and date the evaluation, obtaining the employee’s signature as well.
 - e. Make a copy of the completed form for supervisor and employee.
 - f. Forward the original, signed PES to the Human Resources Office.
 - g. When an employee is not available, the evaluation shall be considered complete when it has been mailed to the most recent address provided by the employee on or before August 31, as evidenced by proof of mailing.
 - h. 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 form from becoming official by refusing to sign the form.
 - i. The performance evaluation shall become official when the employee receives a copy. After a performance evaluation becomes official, only the reviewer designated by the Director in accordance with Civil Service Rule 10.11 can change the evaluation.

D. PES Administration

Evaluating supervisors and second level evaluators are responsible for ensuring that the Performance Evaluation activities are conducted in a timely manner in

accordance with Civil Service Rules and agency policy. Administration includes properly creating and conducting performance planning sessions and evaluation sessions adhering to the time requirements as stated in this policy.

Failure to conduct a proper performance plan session as described is a violation of Civil Service Rule 10.5. Failure to administer the PES includes any planning or evaluation activity associated with the PES system. Failure to administer the PES is a violation of Civil Service Rule 10.2 and 10.3. Evaluation supervisors and Second Level Evaluators who fail to administer the PES will not be eligible for a performance adjustment for that performance period.

E. Requests for Review

1. Request for Agency Review

- a. A permanent employee who receives an overall performance evaluation of “Unrated” or “Needs Improvement/Unsuccessful” may request an official review of that evaluation by the agency reviewer.
- b. The agency reviewer shall be the SCS General Counsel.
- c. The official overall evaluation may only be changed by the agency reviewer.
- d. A request for review must be submitted in writing and be postmarked or received in the employing agency’s Human Resources Office no later than September 15th following the evaluation year. The request should be made on the PES Request for Review Form, which is available on the SCS website.
- e. If the request for review is compliant, the agency reviewer 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.
- f. The agency reviewer shall give the employee, the evaluating supervisor, 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.
- g. 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 by the employee or supervisor during the review, shall be maintained in the employee’s official personnel file or other secured performance file maintained in the Human Resources office.

2. Request for Review by the Director of State Civil Service (C.S. Rule 10.12):

- a. A permanent employee who receives an overall 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.

- b. 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.
 - c. If the request for review is timely, the Director or the Director's 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.
 - d. The Director shall provide a written decision to the employee, the evaluating supervisor, and the Human Resources office no later than thirty (30) calendar days following the date the request for review was received.
7. **EXCEPTIONS:** The Director of State Civil Service may grant an exception to any provision of this policy, provided such exception shall not be in conflict with Civil Service Rules and Regulations.

s/Shannon S. Templet
Director