



**The Performance Evaluation (PES) Process**

The designated performance year for classified employees is July 1 to June 30<sup>th</sup> of each year. Newly hired employees and employees transferred from other state agencies may have a different performance year depending on when they entered the agency or when they entered into the classified service, i.e. hired on November 20<sup>th</sup> would provide a performance year of November 20<sup>th</sup> to June 30<sup>th</sup>.

The performance process is meant to be simplistic but yet one that provides for an employee to receive information or confirmation of his job duties and the supervisor’s expectations of performance of those duties. When the performance year ends, the supervisor reviews overall performance over the entire year and evaluates the employee’s achievement of those expectations by assigning one of the values of the 3-tiered PES.

There are times when an employee will not have worked enough time for there to be a sustainable evaluation, so appointing authorities are given the discretion in either assigning an evaluation to that employee or providing a “Not Evaluated” rating, in which the evaluation has the equivalency of Successful.

The “Unrated” rating is reserved to denote that an evaluating supervisor or 2<sup>nd</sup> level evaluator failed to meet or comply with the provisions of SCS Rules 10.6 and 10.7, which govern creating official performance evaluations. The absence of a performance plan, however, will not cause the overall evaluation to be “Unrated.”

When extenuating circumstances occur, the appointing authority has the opportunity to discuss with the State Civil Service Director exceptions that may be provided for that specific situation.

**NOTE: By rule, the employee must be given information on what is expected of them in the performance of duties so that the supervisor can properly evaluate or measure the performance of the employee after the performance year has ended. The failure of providing this to an employee, however, does not prevent the supervisor from being able to evaluate the employee. Position descriptions, policy and procedure manuals, training manuals, other communications, and other documentation from the evaluation period may be used to complete the evaluation.**

The steps in the performance process are as follows:

**Performance Planning**

1. The evaluating supervisor prepares a performance plan with at least one work task and one behavior standard at the beginning of each performance year for classified subordinates active in the agency as of July 1. The evaluating supervisor can either sign before or after the 2<sup>nd</sup> level evaluator; this decision is at the discretion of each agency based on how it operates.
2. The performance plan is submitted to the 2<sup>nd</sup> level evaluator for approval of the plan. The 2<sup>nd</sup> level evaluator **must** approve the plan and must sign the plan prior to giving to the employee.
3. The performance plan is returned to the evaluating supervisor so that it can be delivered and discussed with the employee. If the employee is on extended absence, the notification

requirements are satisfied when sent by mail. The performance planning process occurs during the period July 1 to September 30<sup>th</sup> each year.

**NOTE:** As a result of this process, the employee is now aware of what is expected of him and his performance during the performance year. If changes occur, such that new criteria becomes available for insertion in performance plans, evaluating supervisors may revise performance plans and reissue to the employee, as necessary. It is human resources best practice for these criteria to be established as close to the beginning of the performance year as possible making the employee aware of those expectations right from the start.

**Performance Evaluation**

1. After the performance year ends, the evaluating supervisor prepares an evaluation of the performance on each work task and behavior standard established in the employee’s performance plan. The evaluation period can begin no earlier than July 1 of each year. The evaluation should be inclusive of an overall overview of the employee’s performance over the performance year.
2. The performance evaluation is submitted to the 2<sup>nd</sup> level evaluator for approval of the plan. The 2<sup>nd</sup> level evaluator **must** approve the plan and must sign the plan prior to giving to the employee.
3. The performance evaluation is returned to the evaluating supervisor so that it can be delivered and discussed with the employee. **If you will notice, the steps in this process mirrors those of the performance planning process.** If the employee is on extended absence, the notification requirements are again satisfied when sent by mail. The performance evaluation process occurs during the period July 1 to August 31<sup>st</sup> each year.

**NOTE:** Performance Planning and Performance Evaluations occur mainly during the same period of time. What users must remember is that the performance evaluation is relative to the performance year that just ended on June 30<sup>th</sup> while the performance plan is relative to the new performance year that began on July 1 and ends June 30<sup>th</sup> of the next year. If users can compartmentalize or visualize this in their minds, PES timelines and deadlines become much easier to manage!

**PES Timeframes**

Performance Evaluation YEAR	July 1 <sup>st</sup> – June 30 <sup>th</sup> <i>(of each year)</i> <b>Example: July 1, 2013 – June 30, 2014</b>
Performance Planning	July 1 <sup>st</sup> – September 30 <sup>th</sup> <i>(at the beginning of each year)</i> <b>Example: July 1 – September 30, 2013</b>
Performance Evaluation	July 1 <sup>st</sup> – August 31 <sup>st</sup> <i>(at the end of each year)</i> <b>Example: July 1 – August 31, 2014</b>
Effective date of Evaluation	July 1 <sup>st</sup> <i>(after completion of the performance year)</i> <b>Example: July 1, 2014 for 7/1/13 – 6/30/14 year</b>
Deadline to request an Agency Review	September 15 <sup>th</sup> <i>(of each year)</i>
Deadline for Agency to render decision	October 15 <sup>th</sup> <i>(of each year)</i>
Deadline to request a C.S. Director’s review	<b>10</b> calendar days from the date the Agency Reviewer rendered the decision to the employee.
Deadline for C.S. Director to render decision	<b>30</b> calendar days from the time they receive the PES file from the agency’s HR Director.

**PES Roles**

Each person involved in the PES process has a role to play to ensure the success of a performance evaluation system. Further information regarding PES Roles can be found in [Job Aids & Resources: PES Roles](#).

**PES Rule Violations**

Failure to comply with the provisions of SCS Rule 10.6 and/or 10.7 will cause employees to receive “Unrated” ratings. The lack of an official planning will not, however, require an overall evaluation of “Unrated.” Information regarding rule violations or infractions can be found in [Job Aids & Resources: PES Rule Violations](#).