

DEPARTMENT OF NATURAL RESOURCES

HUMAN RESOURCES POLICY NO.: 24

EFFECTIVE DATE: SEPTEMBER 23, 2015

SUBJECT: PERFORMANCE EVALUATION SYSTEM

AUTHORIZATION: STEPHEN CHUSTZ, SECRETARY

I. POLICY

The Department of Natural Resources (DNR) strives to provide a work environment which fosters, develops and enhances communication and feedback between employees and supervisors by ensuring that expectations and evaluations are communicated uniformly and timely each year. A successful performance evaluation system facilitates achievement of the department's goals and mission through highly motivated employees.

II. PURPOSE

This policy serves to confirm DNR's support of the Civil Service Performance Evaluation System (PES) described in Chapter 10 of the Civil Services Rules and our expectation that supervisors seriously consider their responsibilities under the system. DNR expects supervisors to communicate expectations and meaningfully evaluate the classified employees serving this department.

III. APPLICABILITY

With the exception of WAEs (When Actually Employed), this policy applies to all classified employees and any unclassified employee who supervises classified employees serving DNR in a job appointment, probationary or permanent capacity.

IV. PROCEDURE

- 1) The appointing authority shall designate an Evaluating Supervisor for each employee. Typically, the Evaluating Supervisor is the employee's direct supervisor. The Evaluating Supervisor develops a performance plan for the employee, documents that the planning occurred, provides performance feedback throughout the performance year and evaluates the performance of his/her subordinates.

- 2) The appointing authority shall designate a Second Level Evaluator for each employee unless the employee reports to an unclassified Executive Director or Agency Head. The Second Level Evaluator is typically the employee's second level supervisor. The Second Level Evaluator reviews PES documents prior to issuance to ensure that they are appropriate, consistent and objective. In order to satisfy his/her role, the Second Level Evaluator must be aware of the timelines associated with the PES process to ensure that performance plans and evaluations are prepared and timely presented.
- 3) Both classified and unclassified supervisors are required to plan, document, evaluate and rate subordinates' performance in accordance with Chapter 10 of the Civil Service Rules.
- 4) All classified supervisors are required to complete the following CPTP online PES courses within 90 days of hire, promotion or appointment to a supervisory position:
 - a) PES Basics;
 - b) PES Planning Process; and
 - c) PES Evaluation Process.
- 5) The Evaluating Supervisor shall be responsible for administering the performance evaluation system for his/her subordinates in accordance with the Civil Service Rules and this policy.
- 6) Evaluating Supervisors who have difficulty timely completing a subordinate's rating should request assistance from his/her supervisor to facilitate completion of the rating process.
- 7) The names of Evaluating Supervisors and Second Level Evaluators who fail to perform PES responsibilities in accordance with the requirements of this policy will be provided to the appointing authority for appropriate action. Repeated failure to timely and satisfactorily perform PES responsibilities will result in a recommendation of disciplinary action.
- 8) Evaluating Supervisors and Second Level Evaluators who fail to perform PES responsibilities in accordance with the requirements of this policy are not eligible to receive a performance adjustment.

V. PERFORMANCE EVALUATION SYSTEM REQUIRED COMPONENTS

- 1) Performance Plan and Planning Session

- a) The Evaluating Supervisor shall prepare a performance plan for each subordinate between July 1 and September 30 of each year. The performance plan shall list work tasks and behavior standards upon which the employee's overall performance will be evaluated. These shall be recorded on the standardized DSCS Planning & Evaluation Form.
- b) The Evaluating Supervisor shall obtain the Second Level Evaluator's input on and signature approval of the performance plan on the Planning & Evaluation Form prior to presenting it to the employee.
- c) The Evaluating Supervisor will conduct a performance planning session with the employee.
- d) During the planning session, the Evaluating Supervisor shall present the performance plan to the employee and discuss the work tasks and behavior standards upon which the employee will be evaluated and the performance that will be expected of him/her throughout the rating year.
- e) The Evaluating Supervisor and employee shall sign and date the performance plan. The employee shall be given a copy of the plan. The Evaluating Supervisor will retain a copy of the form and forward the original to Human Resources.
- f) Should the employee decline to sign the planning 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.
- g) Planning sessions **shall** be conducted during the first three (3) calendar months following:
 - i) The appointment of a new employee;
 - ii) The permanent movement of an employee into a position having a different position number and significantly different duties; or
 - iii) The beginning of the new performance evaluation year (no later than September 30).
- h) Planning sessions **may** be conducted when:
 - i) The employee gets a new Evaluating Supervisor;
 - ii) Performance expectations change; or

- iii) The Evaluating Supervisor deems a performance planning session to be appropriate.
 - i) Throughout the rating year, the Evaluating Supervisor shall continuously review the performance of the employee(s) under his/her supervision. Both satisfactory and unsatisfactory performance shall be documented. Lines of communication between supervisor and subordinate regarding performance and behavior should continually remain open.
- 2) Performance Evaluation and Evaluation Session
- a) The performance evaluation year is July 1 through June 30. Official performance evaluations are required for all classified employees except WAEs. The Evaluating Supervisor shall base the official evaluation of the employee's performance on the work tasks and behavior standards stated within the Planning & Evaluation Form.
 - b) Official evaluations shall be made after the performance year has ended and must be rendered during the period July 1 through August 31. No evaluations shall be rendered after August 31. All official overall evaluations will be recorded with an effective date of July 1.
 - c) Evaluations become official on the date they are rendered. To render an official evaluation, the Evaluating Supervisor shall:
 - i) Complete the Planning & Evaluation Form on the employee timely and with sufficient detail;
 - ii) Provide comprehensive documentation to support an evaluation of "Needs Improvement/Unsuccessful" or "Exceptional";
 - iii) Obtain the Second Level Evaluator's signature approval on the evaluation form prior to meeting with the employee;
 - iv) Discuss the evaluation with the employee and present the evaluation form to the employee to be signed and dated; and
 - v) Give the employee a copy of the evaluation form with his/her official overall evaluation noted and provide the original to Human Resources.
 - d) The Evaluating Supervisor shall assign one of the three evaluation options listed below based upon the employee's performance, work

tasks and behavior standards stated in the Planning & Evaluation Form:

- i) **Exceptional:** Work and behavior consistently exceeded performance expectations;
 - ii) **Successful:** Work and behavior satisfied performance expectations; or
 - iii) **Needs Improvement/Unsuccessful:** Work and/or behavior did not satisfy performance expectations.
- e) The Evaluating Supervisor, with appointing authority approval, may elect to assign an employee who has worked less than three calendar months with the department during the performance evaluation year an overall default evaluation of "Not Evaluated". Such evaluation shall have the same effect as an evaluation of "Successful".
- f) When an employee is not available, the provisions of this policy shall be satisfied when notification to the employee is made by mail. The notification shall be deemed timely if mailed to the employee's most recent address on or before August 31, as evidenced by official proof of mailing. Documentation must be maintained that the employee was so notified.
- g) Should the employee decline to sign the performance evaluation form, the Evaluating Supervisor shall note that fact 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.
- h) When an evaluation is not in compliance with the Civil Service Rules, the employee shall receive an overall evaluation of "Unrated", which shall have the same effect as an evaluation of "Successful". The employee shall be notified when he/she has been assigned an evaluation of "Unrated".
3. Agency Review
- a) A permanent employee who receives an overall performance evaluation of "Unrated" or "Needs Improvement/Unsuccessful" may request an official review of the evaluation by the Agency Reviewer.

- b) The appointing authority shall designate the Agency Reviewer who shall be neither the Evaluating Supervisor nor the Second Level Evaluator who signed the evaluation under review.
 - c) The official overall evaluation may only be changed by the Agency Reviewer. The Agency Reviewer cannot change a rating of "Unrated" unless it is determined that a Rule violation did not occur.
 - d) A request for review must be submitted in writing and postmarked or received by Human Resources no later than September 15th following the evaluation year. In the request for review, the employee must explain and provide documentation in support of the request for review.
 - e) If the request for review is timely, the Agency Reviewer must review the employee's request, the evaluation and supporting documentation. 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 Human Resources written notification of the results of the review. This notification shall be provided no later than October 15th. Any change in the evaluation shall be retroactive to July 1st.
 - g) The Performance & Evaluation Form, the employee's request for review, the Agency Reviewer's decision, the supporting documentation attached to the performance evaluation and any documents requested from the employee or supervisor during the review process shall be maintained in the employee's official personnel file.
- 4) Request for Review by the Director of the Department of State Civil Service
- a) A permanent employee who receives an overall evaluation of "Needs Improvement/Unsuccessful" following an agency review may request to have his/her performance evaluation file reviewed by the Director (or 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 the basis for contesting the decision of the Agency Reviewer.

- c) If the request for review is 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", with such decision being final and not subject to further review.
 - d) The Director shall provide a written decision to the employee, the Evaluating Supervisor and Human Resources no later than 30 calendar days following the date the request for review was received.
- 5) Effects of a "Needs Improvement/Unsuccessful Evaluation"
- a) An evaluation of "Needs Improvement/Unsuccessful" is not a disciplinary action.
 - b) Any employee whose official overall evaluation is "Needs Improvement/Unsuccessful":
 - i) Shall not be eligible for a performance adjustment, promotion or permanent status;
 - ii) Shall not be detailed to a higher level position unless approved in advance by the Director; and
 - iii) In the event of a layoff, shall be laid off first.
 - c) An employee whose official overall evaluation is "Needs Improvement/Unsuccessful" may be separated or disciplined in accordance with the Civil Service Rules applicable to his/her status.

VI. PERFORMANCE ADJUSTMENTS

As noted above, an official evaluation of "Needs Improvement/Unsuccessful" renders an employee ineligible for a performance adjustment. Conversely, an employee evaluated as "Exceptional", budget permitting, is eligible for and necessarily should be awarded a performance adjustment. Employees should understand that an official evaluation of "Successful" does not result in the automatic award of a performance adjustment. Supervisors should recommend and appointing authorities should award such a pay adjustment only upon a determination that the employee's performance throughout the entirety of the rating year merits a performance adjustment.

VII. RESPONSIBILITY

It is the responsibility of each appointing authority and supervisor to assure full and complete compliance with the requirements of this policy and the applicable Civil Service Rules.

VIII. EXCEPTIONS

There will be no exceptions to the requirements of this policy.

IX. QUESTIONS

Questions regarding this policy and/or the applicable Civil Service Rules should be addressed to Human Resources.



STEPHEN CHUSTZ, SECRETARY



DATE

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REVISION DATES: 09/15