

**LSU HEALTH CARE SERVICES DIVISION
BATON ROUGE, LOUISIANA**

POLICY NUMBER: 4533-25

CATEGORY: Human Resources

CONTENT: Continuous Performance Management (CPM) for
Classified Employees

APPLICABILITY: This policy applies to all classified employees (except classified employees serving in a Temporary WAE appointment status) within the Health Care Services Division Administration (HCSDA) and Lallie Kemp Medical Center (LKMC). This policy also applies to any unclassified employees supervising classified employee(s).

Note: Refer to HCSD Policy #4561 for evaluations of unclassified employees

EFFECTIVE DATE:

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**LSU HEALTH CARE SERVICES DIVISION
CONTINUOUS PERFORMANCE MANAGEMENT (CPM)
FOR CLASSIFIED EMPLOYEES**

Note: This policy will also apply to any unclassified employee supervising classified employee(s)

I. STATEMENT OF POLICY / PURPOSE

To ensure the Health Care Services Division (HCSD) complies with Chapter 10 of the Civil Service Rules regarding Continuous Performance Management (CPM) for classified employees which is effective January 1, 2025. Exception: Classified employees serving in a WAE temporary appointment are not subject to adherence to this policy nor is a CPM planning or evaluation required.

CPM is a tool used to measure performance to continuously develop individuals into high-performing employees. For this policy, the word “Performance” covers all aspects of employment to include job duties (both written and verbal communications), conduct, behavior, policies and procedures, training, and attendance.

Note: Any reference herein to Health Care Services Division (HCSD) also applies and pertains to Lallie Kemp Medical Center (LKMC).

II. IMPLEMENTATION

This policy and subsequent revisions to this policy shall be implemented in accordance with Civil Service Rules governing the CPM. Any changes to policy shall become effective upon approval and date of signature of the HCSD Chief Executive Officer or Designee.

III. APPOINTING AUTHORITY RESPONSIBILITIES

Continuous Performance Management (CPM) is a critical tool for ensuring that the agency meets its goals and objectives by aligning employee performance with the agency’s strategic direction. The Appointing Authority plays a pivotal role in this process, ensuring the CPM system is implemented consistently and fairly across the organization. By reviewing performance outcomes, the Appointing Authority can make informed decisions that reinforce accountability and uphold the agency’s standards of excellence.

IV. EVALUATION YEAR

The performance evaluation year for each employee shall be January 1st through December 31st.

V. TRAINING

All employees are required to take the Civil Service CPM Basics course. This course will be offered through the HCSD on-line learning system, WILMA.

- A. Current Employees: Since the CPM is a revised performance system, all current classified employees on board as of 01/01/25 will be assigned this course through WILMA, except for those employees serving in a WAE temporary job status.
- B. New Employees: The CMP Basics course will be assigned to all new employees as part of new employment orientation no later than one (1) month from hire date except for those employees serving in a WAE temporary job status.

VI. CPM COMPONENTS

- A. Civil Service standard CPM forms shall be used. Contact the Human Resources Department for the form and/or link to print form.
- B. Performance plan that lists the performance factors on which the employee's overall performance will be evaluated to include both performance-based goals and behavior standards. The planning form must include a minimum of two (2) performance-based goals and one (1) behavior-based goal.

Each supervisory employee shall be evaluated on their administration of the CPM.

- C. A performance evaluation planning session during which the Evaluating Supervisor and the employee discuss the results of employee's planning session goals from the performance evaluation year.
- D. An overall performance evaluation from the performance year.
- E. A five-level evaluation system.

VII. EVALUATING SUPERVISOR

- A. The Appointing Authority shall designate an Evaluating Supervisor for each employee who shall be a person in the position to observe and document the employee's performance. In most cases, this is the direct line supervisor as indicated on position descriptions/org charts.
- B. Responsible for administering the CPM for subordinates within the required deadlines. For purposes of this policy administration is defined as communicating with subordinates throughout the performance evaluation year regarding both satisfactory and unsatisfactory performance and behavior, need for improvement, and need for additional training. Such communications may be formal or informal.
- C. Evaluating Supervisor (classified or unclassified) who fails to administer the CPM in accordance with this policy and/or Civil Service rules shall not be eligible for a performance adjustment for that year and may be subject to disciplinary action up to and including dismissal.

VIII. SECOND LEVEL EVALUATOR

- A. Designated by the appointing authority - generally this is the Evaluating Supervisor's supervisor.
- B. Shall be responsible for the administration of CPM for designated employees. For purposes of this policy administration is defined as periodically meeting with their own subordinates and maintaining a general familiarity with the employees who they will serve as Second Level Evaluator so that they can fulfill their responsibilities in a fair and impartial manner.
- C. Shall approve and sign the performance plan and the evaluation prepared by the Evaluating Supervisor before it is given to the employee for signature. The Second Level Evaluator shall:
 - 1. Ensure expectations on the plan support the agency mission
 - 2. Ensure goals are based on position duties
 - 3. Ensure evaluation is based on overall job performance for the evaluation rating period.
- D. Second Level Evaluator (classified and/or unclassified) who fails to administer the CPM in accordance with this policy and/or Civil Service rules shall not be eligible for a performance adjustment for that year and may be subject to disciplinary action up to and including dismissal.

IX. CPM PLANNING SESSION

- A. The Evaluating Supervisor shall perform a performance planning session during the first two (2) calendar months following:
 - 1. Appointment of a new employee
 - 2. Permanent movement of an employee into a position having a different position number with significantly different duties
 - 3. The beginning of the new performance evaluation year (no later than March 1).
- B. A performance planning session may be conducted when:
 - 1. The Evaluating Supervisor of an employee changes
 - 2. Performance expectations change
 - 3. Evaluating Supervisor determines a new performance planning session is appropriate.
- C. Performance Planning Form Completion Procedures
 - 1. Complete the expectation section of the CPM form to include performance-based goals and behavior standards on which the employee's overall performance will

- be evaluated based on position description/job duties and agency goals and objectives.
- a. Expectations should be specific and shall be relevant to the employee's job. The employee should have a clear understanding of the duties and behavior being required to perform successfully.
 - b. Expectations should be measurable and attainable. Explain how the employee can reach the expectations. Use designated timeframes and/or deadlines for completion of tasks when appropriate.
2. The following standards shall also be included in each employees' planning document:
- a. Compliance Statement:
"Demonstrates adherence to the compliance plans and policies of the facility/medical center; demonstrates familiarity with and adheres to the requirements of reporting potential fraudulent or abusive behavior; keeps all patient and employee information private/secure and confidential; completes all compliance training requirements within the required deadlines. "
 - b. Training Statement:
"Demonstrates adherence to the HCSD Training Policy No. 4539 by completing all training required by, but not limited to LSU System Office, HCSD Administration, Hospital Leadership, Civil Service, Federal and/or State rules, regulations, requirements, guidelines or any other governing body, within the required deadlines."
3. Evaluating Supervisor obtains approval/signature of Second Level Evaluator of the performance plan prior to meeting with employee.
 4. Evaluating Supervisor meets with employee to discuss the expectations and performance based standards.
 5. Evaluating Supervisor and Employee sign/date the CPM form. Employee is given a copy. Procedures for maintenance of original planning copy will be established by each Business Unit keeping in mind that the HR Departments are responsible for monitoring, compliance, and auditing of documents.
 7. Employee refuses to sign CPM form – Evaluating Supervisor shall note the refusal on the CPM form and record the date the planning session occurred. An employee cannot prevent the planning session from becoming official by refusing to sign the form.
 8. Evaluating Supervisor Not Available to complete CPM form: The Second Level Evaluator or designee shall conduct planning sessions.

X. PERFORMANCE EVALUATION PROCEDURES

- A. Evaluations are made after the performance year has ended on 12/31.
- B. Evaluations must be completed and submitted to the Human Resources Department no later than March 1.
- C. Overall performance is based upon the work tasks and behavior standards established in

the yearly performance plan.

- D. All official evaluations will have an effective date of 01/01 and become official the date they are sign/dated.
- E. Five (5) levels of ratings and Two (2) levels of non-ratings
1. Exceptional: Work and behavior consistently exceeds the position requirements. Documentation is required to support rating.
 2. Exceeds Expectations: Occasionally exceeds the position requirements. Documentation is required to support rating.
 3. Successful: Work and behavior meets the position requirements
 4. Needs Improvement: Occasionally fails to meet position requirements. Documentation is required to support rating. (Refer to H. below for impact to employee.)
 5. Unsuccessful: Work and/or behavior consistently fails to meet position requirements. Documentation is required to support rating. (Refer to I. below for impact to employee)
 6. Not Evaluated: Recent hire/insufficient time to evaluate (Refer to F. below for further explanation.)
 7. Unrated: Did not meet evaluation deadline/violation of rules (Refer to G. below for further explanation.)
- F. "Not Evaluated" Rating:
1. An employee who is appointed on or after October 1 of the performance evaluation year shall be assigned a "Not Evaluated" rating. The HR Department will complete the "Not Evaluated" form provided by Civil Service.
 2. When an employee transfers into HCSD between January 1 and March 1, the gaining agency shall be responsible for assigning a rating of "Not Evaluated" to an employee who has not been rated by the losing agency as of the effective date of the transfer. The HR Department will confer with the losing agency to determine the status of a CMP rating.
 - a. If the losing agency has completed a CPM rating, the HR Department will request a copy of the rating.
 - b. If the losing agency has not completed a CPM rating, the HR Department will complete the "Not Evaluated" form provided by Civil Service.
 3. If an employee transfers out of HCSD between January 1 and March 1, the performance evaluation shall be completed prior to effective date of transfer.
 4. A "Not Evaluated" rating shall have the same effect as an evaluation of "Successful" and employees are eligible for performance adjustments, promotions, details, and permanent status.
- G. "Unrated" evaluation
1. Is in violation of Civil Service rules and this Policy.
 2. In the absence of a performance evaluation, the Human Resources Office shall assign an "Unrated" rating to the employee and shall be indicated on the final CPM form.
 3. An employee shall be notified when he has been assigned an official overall

evaluation of “Unrated”.

4. An employee receiving an “Unrated” evaluation shall have the same effect as an evaluation of “Successful” and are eligible for performance adjustments, promotions, details, and permanent status.
5. Evaluating Supervisors, classified and/or unclassified, who fail to submit completed evaluations on their employees to the Human Resources Department by 03/01, shall not be eligible for a performance adjustment for the year and may be subject to disciplinary action up to and including termination.

H. Consequences of a “Needs Improvement” Rating

1. Not a disciplinary action
2. Employee shall not be eligible for:
 - a. Promotion
 - b. Detail to special duty to a higher-level position
 - c. Attainment of permanent status
 - d. Placement on a Department Preferred Reemployment List (DPRL)
3. Employee cannot request an Agency review.
4. An employee who received a performance evaluation rating of “Needs Improvement” in the previous performance evaluation year, regardless of job title, shall not receive a consecutive rating of “Needs Improvement”. Employee shall be rated “Successful” or “Unsuccessful”.

Note: Due to implementation of the new Civil Service CPM system, “previous performance year” is defined as 2025.

I. Consequences of an “Unsuccessful” Rating

1. Not a disciplinary action
2. Employee shall not be eligible for:
 - a. Promotion
 - b. Detail to special duty to a higher-level position
 - c. Attainment of permanent status
 - d. Placement on a Department Preferred Reemployment List (DPRL)
 - e. Market adjustment
3. A permanent employee who receives a performance evaluation rating of “Unsuccessful” may request a review of that rating through the Agency Review Process. The Human Resources Office will be responsible for notifying an employee who was rated “Unsuccessful” of such Agency Review Process. The request for an Agency Review must be received in the HR Office no later than March 16th following the performance evaluation year. (Refer to Section X. for additional information on agency review.)
4. An employee with a confirmed performance evaluation rating of “Unsuccessful” as a result of the completion of the agency review process or the time to request a review has expired, may be disciplined in accordance with the applicable Civil Service rules.

J. Evaluation Completion Procedures

1. Complete the evaluation section of the CPM form after 12/31, but prior to the

- 03/01 deadline – Employee given one (1) overall rating.
2. Documentation required to support evaluation of:
 - a. Exceptional
 - b. Exceeds Expectations
 - c. Needs Improvement
 - d. Unsuccessful
 3. Evaluating Supervisor obtains approval/signature of Second Level Evaluator of the evaluation prior to discussion with employee.
 4. Evaluating Supervisor meets with employee to discuss the evaluation.
 5. Evaluating Supervisor and Employee sign/date the CPM form. Supervisor keeps a copy, Employee is given a copy, and original completed/signed CPM form is submitted to the Human Resources Department by 03/01.
 6. Employee refuses to sign CPM form – Evaluating Supervisor shall note the refusal on the CPM form and record the date the evaluation session occurred. An employee cannot prevent the evaluation from becoming official by refusing to sign the form.
- K. Employee Not Available to Sign Evaluation Prior to 03/01
1. Notification will be made as determined by the Appointing Authority. Notification may be electronically or by US Postal Service.
 2. Notification will be considered timely if mailed on or before 03/01 to the employee’s most recent address according to HR records
 3. Proof of mailing required
 4. Business Unit must maintain documentation that the employee was notified on or before 03/01.
- L. Evaluating Supervisor Not Available to complete CPM form:
1. The Second Level Evaluator or designee shall conduct evaluation sessions.

XI. AGENCY REVIEW

- A. Permanent classified employees who receive an overall performance evaluation of “Unsuccessful” may request an official review of that evaluation by an Agency Review Panel.
- B. The request for review and any supporting documentation shall be postmarked or received in the Human Resources Office no later than March 16th following the performance evaluation year. The request must be completed on the official Agency Review form and explain why the employee believes the rating should be reviewed and the employee must provide supporting documentation for the review.
- C. If the request for review is timely, the Appointing Authority shall designate an Agency Review Panel consisting of at least three (3) members who are believed by the Appointing Authority to be impartial and who shall not be the employee’s Evaluating Supervisor or the Second Level Evaluator.

1. Members of the Agency Review Panel shall not be subjected to retaliation or discipline as result of their service on the panel or the outcome of the review.
- D. The Human Resources Office shall review the performance evaluation form for compliance with these rules. If a rule violation is identified, the rating shall be changed to “Unrated” and any agency review which has commenced shall cease.
- E. The Agency Review Panel shall review the employees’ request, the performance planning form, the performance evaluation and all supporting documentation provided for each. The evaluation under review shall be discussed with the employee, the Evaluating Supervisor and the Second Level Evaluator separately.
- F. The Agency review Panel may request and shall be provided any additional documentation deemed necessary to make determination. The Evaluating Supervisor and Employee shall be provided with a copy of any additional documentation requested and received by the Agency Review Panel.
- G. The Agency Review Panel shall notify the Human Resources Office of any rule violation identified in the review process and the rating shall be change to “Unrated”. Otherwise, after a review of the documents and discussions described in E. and F. above, the Agency Review Panel by a majority vote shall have the option, based on the merits of the review, to:
 1. Uphold the performance evaluation rating of “Unsuccessful”; or
 2. Assign an overall performance evaluation rating of “Needs Improvement”.
- H. The Agency Review Panel’s decision shall be final, except as provided in J. below.
- I. The Agency Review Panel shall give the employee, the Evaluating Supervisor, the Second Level Evaluator and the Human Resources Office written notice of the results of its review. This notification shall be provided no later than April 16.
- J. The agency’s Human Resources Office shall ensure that the agency review process is conducted in accordance with the CS Rules and HCSD Policy. Any violation thereof shall result in a performance evaluation rating of “Unrated”.
- K. Any change in the performance evaluation rating shall be recorded by the Human Resources Office on the rating replacement form or the performance evaluation form with an effective date of January 1.

XII. GRIEVANCE PROCESS

The HCSD grievance process shall not be used to review a performance evaluation rating, reconsider the results of an agency’s review or address a procedural violation of these rules.

XIII. MAINTAINING THE PERFORMANCE DOCUMENTATION/SUPERVISORY FILE

- A. A performance documentation/supervisory file is maintained by the Evaluating Supervisor for each employee supervised. Documentation must be kept indefinitely for active employees and three (3) years for inactive employees.
- B. The performance documentation file should contain information to be used for evaluating an employee's performance throughout the performance evaluation year from January 1 through December 31.
- C. The performance documentation file may include:
 - 1. CPM form
 - 2. Job Description
 - 3. Work samples
 - 4. Attendance records
 - 5. Letters of complaint and/or commendation
 - 6. Training records
 - 7. Copies of counseling sessions
 - 8. Copies of memos, notices, or improvement plans
 - 9. Any notation on the CPM form of any formal or informal discussion during the rating year
 - 10. Supervisory comments
 - 11. For Evaluating Supervisors: Were CPM's completed timely for their subordinate employee(s), both classified and unclassified?
- D. You may use the Civil Service provided forms to assist with documentation of discussions with employees throughout the evaluation year for areas of improvement or changes in job duties (HR can provide forms/link for access):
 - 1. Performance Development tool form
 - 2. Notes and Discussion Form
- E. The performance documentation file is not a public record; therefore, it should not be kept in a publicly accessible file. **Employees are not entitled to access the performance documentation file.**

XIV. RECORD KEEPING AND REPORTING REQUIREMENTS

- A. The following shall be kept in the Human Resources Office secure location not accessible to the public, and shall not be considered a public record:
 - 1. Completed performance planning forms;
 - 2. Completed performance evaluation forms;
 - 3. Employee's request for agency review including the completed review by the Agency Review Panel and all supporting documentation considered during the

agency review.

- B. Completed CPM forms must be kept indefinitely on active employees and for three (3) years on inactive employees.
- C. All records shall be available upon request to the employee and to Civil Service for auditing purposes.

XV. REPORTING REQUIREMENTS

- A. Each Appointing Authority shall annually report to the Director of Civil Service, as the Director prescribes information about evaluations given to classified employees during the previous year ending 12/31. The Director of Civil Service may require more frequent reporting as needed.
- B. The Human Resources Office shall provide a report to the Appointing Authority by April 30 identifying all employees with confirmed permanent evaluation rating of “Unsuccessful” following the end of the performance evaluation year. The report shall also indicate any previous performance evaluation ratings of “unsuccessful” given to such employees.
- C. Upon receiving the listing of employees with confirmed “Unsuccessful” ratings, the Appointing Authority/Designee shall carefully review the circumstances surrounding each rating. To maintain the integrity of the agency’s performance standards and to ensure that the underperformance does not impede the Agency’s mission, the Appointing Authority is responsible for determining whether disciplinary action, up to and including dismissal, is warranted and supported by documentation.

XVI. EXCEPTION

Since this policy is developed in accordance with Chapter 10 of the Civil Service rules, only the Director of Civil Service may approve exceptions to those rules. The HCSO Chief Executive Officer or designee may only make an exception to policy if not mandated by Chapter 10 of the Civil Service Rules.

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