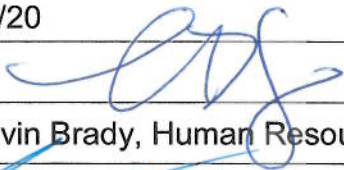
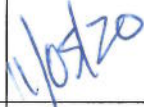
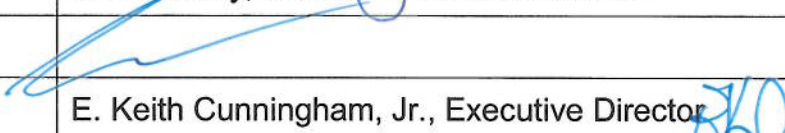





LOUISIANA HOUSING CORPORATION		POLICY NO. 9	
SUBJECT: PERFORMANCE PLANNING and EVALUATION			
Review Dates:	10/20		
Approval:		Date:	
	Kevin Brady, Human Resources Director		
Approval:		Date:	
	E. Keith Cunningham, Jr., Executive Director		Nov 05, 2020

SUMMARY OF CHANGES		
Date	Author	Change Description
10/20	K. Brady	<ul style="list-style-type: none">• Added coaching requirements• Changes in grammar and punctuation.• Omitted gender specific pronouns.• Removed references to performance adjustments• Changed format to more closely mirror Civil Service Rules Chapter 10 Performance Evaluation System



I. Policy.

A good performance evaluation system provides a mechanism for an employer to evaluate the talent, skills, and abilities of staff. It also provides an opportunity for the employee and supervisor to have one-on-one discussions of expected job performance.

In accordance with Civil Service Rules Chapter 10, all classified employees are evaluated annually on their individual performance goals and standards on a focused evaluation date, July 1. In addition to the annual focused evaluation date, coaching sessions are conducted and documented throughout the year in October, January, and April.

II. Applicability.

This policy shall be applicable to all classified employees of the Louisiana Housing Corporation, except When Actually Employed (WAE) employees.

III. Performance Evaluation System.

The Performance Evaluation System (PES) is the method used to assess the individual performance of classified employees annually. The standard evaluation period is July 1 through June 30. The PES requires the components below.

1. Employees to be given a plan that lists the basis on which their performance will be evaluated during the year.
2. The supervisor to meet with the employee in a “planning session” to discuss the expectations for evaluating performance.
3. The use of a standard form on which both the performance plan and the evaluation are documented.
4. The use of three standard terms to describe an employee’s overall level of performance and behavior.
5. That all employees have access to instructions on how the PES works.

IV. Evaluators.

1. Evaluating Supervisor: observes, documents, and evaluates an employee’s performance and behavior. The role of the Evaluating Supervisor includes:
 - a. Developing a performance plan for the employee stating the expected performance and behavior expectations for the performance period;
 - b. Documenting the planning session occurred;



- c. Providing feedback through coaching sessions throughout the performance period; and
 - d. Evaluating the overall performance after the performance period has ended.
2. Second Level Evaluator: reviews the PES documents prepared by the employee's Evaluating Supervisor prior to the employee receiving the documents to ensure they are appropriate and objective. The role of the Second Level Evaluator includes:
 - a. Assessing if performance plans and evaluations are developed and carried out by their subordinate supervisors in accordance with LHC's mission; and
 - b. Approving the performance plan and evaluation created by the Evaluating Supervisor before being discussed with the employee.

V. Performance Planning.

Each performance year, Evaluating Supervisors are required to:

- prepare a performance plan for subordinates;
 - discuss the plan with the employee;
 - obtain signatures or acknowledgment; and
 - deliver a copy of the plan to the employee.
1. The Evaluating Supervisor prepares a performance plan for each employee at the beginning of the performance period listing the work tasks and behavior standards for which the employee will be evaluated during the performance period. The work tasks and behavior standards are written on the planning document.
 2. The Evaluating Supervisor seeks and receives approval from the Second Level Evaluator before discussing the planning document with the employee.
 3. The Evaluating Supervisor conducts a planning session with the employee to discuss the expectations and gain feedback from the employee. If changes are required after discussion with the employees, the Evaluating Supervisor can make necessary changes after ensuring the Second Level Evaluator is aware of the change.



4. During the planning session, the Evaluating Supervisor will deliver the planning document to the employee and discuss the expectations for the employee's performance and behavior.
5. The Evaluating Supervisor and the employee will sign (or document acknowledgment) and date the planning document. The employee is given a copy.
6. Should the employee refuse to sign the document, the Evaluating Supervisor shall note this on the form with the date to indicate the planning session occurred. An employee cannot prevent the planning session from occurring by refusing to sign the form.
7. The Evaluating Supervisor submits the original planning documents to Human Resources.
8. Planning sessions are required to be conducted within three months of the following:
 - a. The appointment of a new employee;
 - b. The permanent movement of an employee into a different position, with a different position number and significantly different job duties; or
 - c. The beginning of the new performance period.

VI. Performance Coaching.

Over the course of the year, the Evaluating Supervisor monitors the performance of the employee based on the expectations in the performance plan. The Evaluating Supervisor should have an on-going communication with the employee providing support, information, resources, training, and encouragement. Concerns about performance should be raised as they are recognized to allow the employee to address the issues and change the performance.

1. Coaching Sessions are required by October 31st, January 31st, and April 30th.
2. The Evaluating Supervisor reviews the Performance Planning document for the employee.
3. The Evaluating Supervisor prepares notes on performance and/or behavioral expectations. The PES Interim Discussion Form is used to document the session.



4. The Evaluating Supervisor conducts a Coaching Session with the employee to discuss progress and gain feedback from the employee. Additional notes and expectations should be attached to the Interim Discussion Form during the discussion with the employee.
5. During the Coaching Session, the Evaluating Supervisor will discuss the notes and comments.
6. The Evaluating Supervisor and the employee will initial and date the PES Interim Discussion Form. The employee is given a copy of the form and the notes. Notes should be dated.
7. The Evaluating Supervisor submits a copy of the PES Interim Discussion Form only to Human Resources for each Coaching Session by November 7th, February 7th, and May 7th. It is not necessary to submit notes until the annual evaluation is conducted.
8. The Evaluating Supervisor keeps the original form and attachments to use for the next Coaching Session during the performance period and the final annual evaluation.
9. The Evaluating Supervisor submits the original PES Interim Discussion Form and attachments with the annual Performance Evaluation.

VII. Performance Evaluation.

1. At the end of the performance period, the Evaluating Supervisor determines the overall performance of an employee. The value assigned will be one of the following:
 - 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.
2. An Evaluating Supervisor may assign an employee who works less the three calendar months in the evaluation period a rating of "Not Evaluated." The effect of a "Not Evaluated" rating is equivalent to a "Successful" rating. "Not Evaluated" may only be given when:



- a. The employee is an active employee on June 30th; and
 - b. The employee has worked less than three months within the performance period; and
 - c. The appointing authority determines that not enough time has elapsed to create an evaluation.
3. When it is determined that an employee was evaluated in violation of these rules, the employee will receive an evaluation of "Unrated". "Unrated" will have the same effect as a "Successful" evaluation.
4. Official evaluations are required for all classified employees, excluding WAEs. The evaluation is based on the work tasks, behavior standards, and expectations as stated in planning and coaching session documents.
5. Official evaluations are completed after the performance period and must be issued to the employee by July 31st. The effective date of the evaluation is July 1st.
6. Evaluations are official the day they are given to the employee. To issue an official evaluation, the supervisor must:
 - a. Complete the evaluation form after June 30th of each performance period;
 - b. Provide documentation to support an evaluation of "Exceptional" or "Needs Improvement/ Unsuccessful";
 - c. Obtain the Second Level Evaluator's approval prior to discussion with the employee;
 - d. Discuss the evaluation with the employee and present the evaluation to the employee for signature and date; and
 - e. Ensure the employee receives a copy.
7. If the employee refuses to sign the evaluation form, the Evaluating Supervisor will document this on the form and date it. The employee's refusal to sign the evaluation does not prevent the evaluation from being official.
8. Evaluations of "Unrated" will be indicated on the final overall evaluation form by the evaluating supervisor, second level reviewer, or Human Resources. The Evaluating Supervisor must notify the employee when assigned an official evaluation of "Unrated".



VIII. Effects of Needs Improvement/ Unsuccessful Evaluation

1. An evaluation of "Needs Improvement/ Unsuccessful" is not a disciplinary action.
2. Any employee who receives an official evaluation of "Needs Improvement/ Unsuccessful" shall not be:
 - a. Eligible for promotion or permanent status; or
 - b. Eligible to be detailed to a higher position without prior approval of the Director of Civil Service.
3. An employee whose overall evaluation is "Needs Improvement/ Unsuccessful" may be separated or disciplined in accordance with the Civil Service Rules applicable to the employee's status.
4. Permanent employees have the right to request a review of a "Needs Improvement/ Unsuccessful" overall rating.

IX. Review Requests.

1. Agency Review Requests.
 - 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 an agency reviewer.
 - b. The appointing authority shall designate an agency reviewer. The reviewer may not be the Evaluating Supervisor or the Second Level Evaluator for the evaluation under review.
 - c. The official evaluation may only be changed by the agency reviewer.
 - d. A request for review must be submitted in writing and postmarked or received in Human Resources by September 15th. In the request for review, the employee must explain and provide supporting documentation for the request.
 - e. If the request for review is timely, the agency reviewer must review the employee's request, the evaluation given and any supporting documentation provided. The contested evaluation must be discussed with both the employee and the Evaluating Supervisor.



- f. The agency reviewer shall give the employee, the Evaluating Supervisor, and Human Resources written notice of the results of the 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, the supporting documentation attached to the performance evaluation, and any documents requested during the review will be maintained in the employee's personnel file.
- 2. Request for Review by the Director of Civil Service:
 - a. A permanent employee who receives an official evaluation of "Needs Improvement/Unsuccessful" following an agency review may request a review by the Director of Civil Service.
 - b. A request for review must be postmarked or received by the Director no later than ten (10) calendar days following the date the employee received the agency reviewer's decision. In the request, the employee must explain why they are contesting the decision of the agency reviewer.
 - c. If the request for review is timely, the Director or their 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 will issue a written decision to the employee, evaluating supervisor, and Human Resources no later than thirty (30) calendar days following the date the request for review was received.

X. Questions.

Questions regarding this policy should be directed to Human Resources.