

## **Information**

Performance Appraisals

## **Effective**

May 1 1992

## **Number**

PER 2 13

## **Applicability**

This policy applies to University Administrators and Staff

## **Administrative Authority**

Vice President for Human Resources

## **Responsible Unit**

Human Resources

Miller Information Technology Center Rm 02C

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## **History**

Revision Date(s): August 31, 2014; August 11, 2017 (effective November 30, 2017);  
March 8, 2019; December 14, 2021 (minor edits); August 24, 2022 (minor edit); April  
11, 2023; April 1, 2026 (minor revision)

Reviewed Date(s): March 8, 2016; August 11, 2017

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## **Categories**

## **Statement:**

**PERFORMANCE APPRAISAL**

Each employee shall receive a written performance appraisal of their work performance at least annually. The employee's first line supervisor shall:

1. Provide and discuss written job descriptions, job performance factors and performance standards with the employee when the position is assumed.
2. Update and discuss job performance factors with the employee whenever there is a significant change in job duties.
3. Provide a progress report every two months during the provisional employment period to a provisional status employee. The supervisor shall also provide a written performance evaluation 30 days prior to the completion of the provisional employment period, based upon the job factors established for the position. If the employee's service is unsatisfactory, the employee should be terminated before the end of the provisional employment period. Employees retained beyond the provisional employment period will be granted regular status.
4. Conduct the performance evaluation in writing within 75 days following the evaluation period.

The second line supervisor shall signify concurrence with the overall performance rating, and certify it is consistent with the established performance evaluation standards of the unit. Copies of the evaluation must be submitted to the Human Resources Department.

When an employee's performance is first recognized as not meeting expectations and is not resolved through informal discussion, the supervisor should:

1. Engage the employee under the provisions of the disciplinary policies, PER 5.01; or
2. Implement a Performance Improvement Plan as described below, until the employee's performance improves or the employee is dismissed.

**PERFORMANCE IMPROVEMENT PLAN** (Not applicable to administrators)

Performance Improvement Plans, if applicable, shall be implemented when an employee's performance is first recognized as not meeting expectations and is not resolved through informal discussion, **or** an employee receives a "needs improvement" written evaluation.

During the performance improvement plan period an employee shall be evaluated at least once every 30 calendar days up to a maximum of 90 calendar days until:

1. The employee's performance has improved and is evaluated as at least meeting expectations; or
2. The employee is terminated under the provisions of the staff disciplinary process, PER 5.01.

The Performance Improvement Plan is designed to provide employees a reasonable amount of time to improve. However, employees remain subject to disciplinary action related to unsatisfactory performance and/or other violation(s) of university policies and procedures in accordance with PER 5.01, Disciplinary Action.

After the immediate supervisor completes a written summary of the areas which require improvement or an evaluation, he or she shall discuss with the employee. The employee will be provided an opportunity to sign the applicable document. Should the employee refuse to sign, a notation shall be made on the memorandum and/or evaluation. Employees shall be permitted to submit written statements of disagreement that shall be attached to the applicable document within 15 calendar days. A copy of the memorandum and/or evaluation shall be given to the employee and shall then be filed in the department with a copy forwarded to the Human Resources Department.

The Employee Relations Office must be notified whenever an employee receives a "needs improvement" performance evaluation.

## **Related Information:**

Performance appraisals may be used for but are not limited to the following:

1. Establishing goals and objectives for job performance;
2. Informing employees of strong and weak points, training needs or expected improvements, and suggested methods for improvement;
3. Determining the employee's eligibility for performance pay increases;
4. Recognizing an employee's potential for promotion;
5. Serving as a basis for disciplinary action;
6. Assisting in determining the order of layoff and reinstatement; and
7. Conducting semi-annual or mid-year performance reviews.

Refer to the [Performance Management Guide](#) for assistance in preparing for and conducting performance evaluations.

Refer to the *Redbook* [Sections 2.2.4](#) and [3.2.3](#) Review of Service specific to the Executive Vice President and University Provost, vice presidents to whom academic units report, and Deans.

Additional questions can be directed to Employee Relations at either 502-852-6536 or 502-852-6538 or by [email](#).

## **Definitions:**

<http://louisville.edu/hr/policies/definitions>