

Information

Performance Management

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
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History

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Categories

Statement:

PERFORMANCE EVALUATIONS

Each employee shall receive a written evaluation of their work performance during the Provisional Period, Probationary Period, or at least once 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 informal feedback and coaching to the employee every two months during the provisional/probationary employment period to a provisional/probationary status employee. The supervisor shall also provide a written performance evaluation within the final 30 calendar days of the provisional/probationary employment period, based upon the job factors established for the position.
 1. If a provisional employee's service is found to be unsatisfactory, the supervisor should consult with the Human Resources Office following the two-month or four-month informal feedback conversation, or as soon as practically possible, to discuss if the employee's performance is able to be improved or if it is necessary to separate an employee during the provisional period. Employees retained beyond the provisional employment period will be granted regular status.
 2. If a probationary employee's service is found to be unsatisfactory, the supervisor should consult with the Human Resources Office to determine next steps on improving the performance of the employee. Probationary employees, as regular status employees, are not eligible to be terminated from their position without following the Discipline or Separations Policy, as applicable.

4. If an employee was hired, promoted, voluntarily demoted, or transferred to their position on or after April 1st of the current performance year, then the Provisional/Probationary review may be used to substitute the Annual Performance Evaluation.

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. Final copies of the evaluation must be submitted to the Human Resources Office.

In order to support successful employee performance, alignment with strategic goals, and open communication, the first line Supervisor is encouraged to have continuous and ongoing conversations with their employee throughout the year regarding the employee's performance. As such, an employee may receive a semi-annual, mid-year, or ad-hoc performance evaluation at the discretion of the supervisor. The semi-annual, mid-year, or ad-hoc performance evaluation must be maintained at the department level and would not be considered part of the employee's Master Personnel File unless utilized as a supporting document for employee promotion, pay adjustment, or issuance of Disciplinary Action and/or an Improvement Plan.

When an employee's performance is recognized as not meeting expectations and is not resolved through informal discussion, the supervisor should consult with the Human Resources Office to determine if the supervisor should:

1. Engage the employee under the provisions of the Discipline Policy, PER 5.01; or
2. Implement a Performance/Attendance Improvement Plan as described below, until the employee's performance/attendance improves or the employee is dismissed for unsatisfactory performance.

IMPROVEMENT PLANS (Not applicable to administrators)

Improvement Plans include both Performance Improvement Plans (PIPs) and Attendance Improvement Plans (AIPs), as applicable.

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

Performance Improvement Plan (PIP): A formal, written plan used to address deficiencies in an employee's job performance by establishing clear performance expectations, identifying required improvements, providing appropriate support, and setting a timeframe for demonstrating sustained satisfactory performance.

Attendance Improvement Plan (AIP): A formal, written plan used to address attendance deficiencies by establishing clear attendance expectations, identifying required improvements, providing appropriate support, and setting a timeframe for demonstrating sustained satisfactory attendance.

ADMINISTRATION OF IMPROVEMENT PLANS

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

1. The employee's performance/attendance has improved and is evaluated as at least meeting expectations; or
2. If the improvement plan is not successfully completed, the employee is terminated under the provisions of the Discipline Policy, PER 5.01.

In some instances, with approval from the Human Resources Office, the Improvement Plan may be extended beyond 90 calendar days. The 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, attendance and/or other violation(s) of university policies and procedures in accordance with PER 5.01, Discipline Policy.

After the immediate supervisor identifies areas which require improvement or would provide an evaluation that would result in a score of Needs Improvement overall, they shall consult with the Human Resources Office on the completion of a reasonable and attainable Improvement Plan. Once finalized, the supervisor shall review and discuss the improvement plan with the employee. The employee shall 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 added to the Master Personnel File.

The Human Resources Office must be notified whenever an employee receives a “needs improvement” performance evaluation.

In most instances, an employee may not be placed on an Improvement Plan more than once in a twelve (12) month period. If there is continued concern with an employee’s performance or attendance after an improvement plan was successfully completed, then disciplinary action related to unsatisfactory performance, attendance and/or other violation(s) of university policies and procedures should be administered in accordance with PER-5.01, Discipline Policy.

Timing of Improvement Plan Reviews

Improvement Plan review meetings should occur approximately every 30 calendar days. If a scheduled review date falls on a university holiday, winter break, emergency closure, or other day when the employee is scheduled on approved leave or the university is officially closed, the review meeting should occur on the next regularly scheduled business day. Such scheduling adjustments do not invalidate or require restarting the Improvement Plan.

Employee Leave During an Improvement Plan

If an employee begins an approved continuous leave of absence (including, but not limited to, Family and Medical Leave, medical leave, military leave, or other approved leave) during an Improvement Plan, the plan will generally be suspended for the duration of the leave. Upon the employee's return to active work, the Improvement Plan will resume at the point at which it was suspended unless Human Resources determines that another course of action is appropriate based on the circumstances. Time during which an Improvement Plan is suspended because of an approved leave of absence shall not count toward the 90-calendar-day Improvement Plan period.

Supervisor Change or Leave

If the employee's immediate supervisor is unavailable due to an extended absence, separation from employment, reassignment, or other operational necessity, the second-line supervisor or another management representative designated by the department may assume responsibility for administering, monitoring, and concluding the Improvement Plan in consultation with Human Resources. If an employee changes supervisors during an active Improvement Plan, the Improvement Plan remains in effect unless Human Resources determines otherwise. The new supervisor shall assume responsibility for administering the remaining portions of the plan.

Employee Transfers While on an Improvement Plan

While discouraged, an employee may transfer during the administration of an Improvement Plan. Prior to an employee transferring to another position, the receiving department shall be informed if the employee is actively participating in an Improvement Plan. Human Resources, in consultation with both departments, will determine whether the Improvement Plan will continue, be modified to reflect the essential functions of the new position, or be concluded based on the circumstances of the transfer.

Compliance and Administrative Investigations

When an employee or supervisor is involved in an active university investigation while an Improvement Plan is in effect, Human Resources shall determine, in consultation with the appropriate investigative office and Office of University Counsel, whether the Improvement Plan should continue, be modified, or be temporarily suspended pending the outcome of the investigation. The determination will be based on the nature of the investigation, whether the issues under review are related to the Improvement Plan, and whether continuing the plan would compromise the integrity of the investigation or the employee's opportunity to successfully complete the plan. If an Improvement Plan is temporarily suspended due to an investigation, the period of suspension will not count toward the Improvement Plan timeline. Upon conclusion of the investigation, Human Resources will determine whether the Improvement Plan will resume, be revised, or be concluded.

HR Consultation

Human Resources must be consulted prior to:

- starting and providing an Improvement Plan for an employee;
- meeting with the employee at the 30/60/90 calendar day review periods;
- extending an Improvement Plan beyond 90 calendar days;
- concluding an Improvement Plan with termination;
- modifying an Improvement Plan following an extended leave of absence;
- transferring an employee to another department while an active Improvement Plan is in place;
- starting a second improvement plan for an employee within a twelve (12) month period.

Related Information:

Performance Evaluations 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-based 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, mid-year, or ad-hoc performance evaluations.

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 the Human Resource Office at 502-852-6258 or by [email](#).

Definitions:

HR Policies and Procedures, Policy Definitions