



University of Kentucky / UK HealthCare Policy and Procedure	Policy # A09-125
Title/Description: Employee Performance Management Process	
Purpose: To provide guidelines for the performance management of UK HealthCare employees.	

[Policy](#)

[Procedure](#)

[End-of-New Employee Orientation Appraisal](#)

[Annual Assessment](#)

[Annual Assessment for Transferred Employees](#)

[Responsibility](#)

[Process](#)

[Merit Increase in Pay](#)

[Feedback and Coaching](#)

[Persons and Sites Affected](#)

[Policies Replaced](#)

[Effective Date](#)

[Review/Revision Dates](#)

Policy

The University of Kentucky’s online employee performance evaluation (PE) system offers a consistent approach and operating philosophy for providing feedback and assessment of employee performance through the ability to monitor progress of performance and goals during the year. Both the employee and the manager shall access the system and use the system’s goal plan to make notes that are appropriate and reflective of the employees’ performance.

Mid-year reviews may also be required as indicated by specific departmental policies. The on-line PE is based upon the position’s major job responsibilities, essential job functions and job standards found in the employee’s Job Analysis Questionnaire (JAQ). The goal is to promote a high level of employee performance through consistent feedback from managers using annual performance assessments.

Procedure

End-of-New Employee Orientation Appraisal

UK Human Resources recommends that each new or transferred University of Kentucky HealthCare employee be evaluated at the end of his or her initial or transfer 90-day orientation period. Managers shall discuss and document the new employee’s performance at regular intervals throughout the orientation period with the employee. The manager shall promptly

discuss marginal or unsatisfactory performance with the department head and/or Human Resources if successful completion of orientation appears questionable or unlikely.

During the last few weeks of the orientation period, the manager and the employee shall discuss and document the employee's performance. If the performance has been marginal or unacceptable, extension of orientation or termination of employment may be necessary.

If the end-of-orientation appraisal is not conducted within five working days of the end of the orientation period, the employee shall be considered as automatically completing orientation successfully.

Annual Assessment

For the purposes of annual performance assessments, UK HealthCare uses the fiscal year, i.e., July 1 through June 30

Annual Assessment for Transferred Employees

The annual performance assessment of a transferred employee is determined by the length of time the transferred employee has been in the new position. Guidelines are available on the [UK Human Resources Training and Development website](#).

Responsibility

The manager, under the supervision of the department director, is responsible for conducting annual PEs which are due by June 30th of each year, with the exception of the Leadership PE, which is due by August 31. In order to accommodate circumstances outside the control of UK Human Resources and UK HealthCare leadership, on occasion, senior leadership may extend the due date for all performance evaluations. Failure to complete the employees' PE by the required dates, unless approved due to unusual circumstances, may result in the manager receiving a "does not meet expectations" in the relevant MJR of his or her PE.

The PE is a twelve month review of the employee's performance. Timely feed-back is essential for an employee to have the ability to be successful. The manager shall be confident that the PE is a true twelve month review and that any performance issues cited have been discussed with the employee before the formal evaluation.

Process

The on-line performance evaluation is located within [myUK / Employee Self Service / Performance Management](#). Managers may also use [Manager Self-Service](#).

1. The employee shall receive notification via email to begin the annual performance process by completing his or her self-evaluation.
2. The employee's manager shall also notify the employee to begin his or her self-evaluation process. Once completed, the employee then sends the self-evaluation electronically to his or her manager.
3. The manager uses feed-back from the employee's self-evaluation, information from the on-line performance evaluation goal section, previous discussions with the employee concerning his or her performance, and knowledge of the employee's performance to complete the annual evaluation. Managers in certain areas may also use peer evaluations to supplement an employee's annual evaluation.

4. The manager shall then request an in-person meeting with the employee.
5. During the evaluation process, the manager shall discuss the employees overall performance, goal attainment, and each rating with the employee and request their feedback. The manager has an opportunity to make changes to the PE at this time.
6. Once this process is complete, the employee is required to acknowledge the receipt of the PE using the signature line on the on-line Performance Evaluation. Receipt of the Performance evaluation does not constitute agreement. If the employee disagrees with his/her performance evaluation, he/she may provide a written response to their manager within thirty (30) calendar days of receipt of the performance evaluation. If the employee is not satisfied with their manager's response, the employee may take their concern to the next level of management within their chain of command. Disagreement(s) with a PE are, however, not considered a formal grievance.
7. If the employee does not meet expectations (a rating of less than 2.00) on any MJR, a performance improvement plan is completed for that employee.
8. The manager shall meet with the employee on an ongoing basis to provide regular feedback and coaching on performance issues for a period of thirty to ninety days.
9. After this period of time the supervisor shall reevaluate the plan to verify that appropriate steps have been taken to improve performance in relevant areas.

Merit Increase in Pay

As applicable, a merit increase in pay may be determined and communicated to the employee by their manager. Pay adjustments normally take place in October, as appropriate.

Within the Department of Nursing a defined process of STEP adjustments are made for each RN within the Nurse Clinical job classification.

If an employee receives an overall PE score of below a 2.0, the employee does not meet expectations, and shall not be eligible for a merit increase in pay.

If the employee receives corrective action at the level of probation during the fiscal year, the employee is ineligible for a merit increase in pay, regardless of his or her overall PE score.

Feedback and Coaching

Feedback and coaching shall occur on an on-going basis and at the mid-year review to provide supervisors with an opportunity to recognize effective performance and provide coaching for improvement.

1. As a part of the feedback and coaching components, employees are encouraged to gather informal feedback from others throughout the year. Employees shall seek on-going feedback from their manager(s) and may seek feedback from peers, subordinates, and/or customers.
2. Managers shall provide timely feedback to motivate an employee toward improved performance.

References

[UK Human Resources Policy and Procedures 8.0: Staff Orientation](#)

Persons and Sites Affected <input checked="" type="checkbox"/> Enterprise <input type="checkbox"/> Chandler <input type="checkbox"/> Good Samaritan <input type="checkbox"/> Kentucky Children's <input type="checkbox"/> Ambulatory <input type="checkbox"/> Department	
Policies Replaced <input checked="" type="checkbox"/> Chandler HP09-11 <input type="checkbox"/> Good Samaritan <input type="checkbox"/> Kentucky Children's CH <input type="checkbox"/> Ambulatory KC <input type="checkbox"/> Other	
Effective Date: 06/30/2014	Review/Revision Dates: 8/2011; 10/29/2013; 07/30/2014
Approval by and date:	
Signature _____ Name Pamela Levin, Human Resources Business Partner Sr., Review Team Leader	Date _____
Signature _____ Name Tukea Talbert, Interim Enterprise Director of Quality and Safety	Date _____
Signature _____ Name Colleen Swartz, Chief Nurse Executive	Date _____
Signature _____ Name Bernard Boulanger, MD, Chief Medical Officer	Date _____
Signature _____ Name Marcus Randall, MD, Chief, Ambulatory Services	Date _____
Signature _____ Name Anna L. Smith, Chief Administrative Officer	Date _____
Signature _____ Name Michael Karpf, MD, Executive Vice President for Health Affairs	Date _____