

# Roles/Responsibilities with Performance Management for Merit Employees

## Supervisor Responsibilities

- Routinely communicate with your employees about their work performance. Provide feedback, coaching and support to all direct reports on an ongoing basis throughout the year, maintaining documentation.
  - If you are not sure what to document, reach out to your [Human Resources Liaison \(HRL\)](#) for guidance.
  - If an employee is not meeting performance expectations, act promptly. Reach out to your HRL and your supervisor for guidance. Ensure that these efforts to correct performance are objectively documented and you are meeting frequently with the employee to provide feedback of their work performance.
- Upon receiving the annual list of Merit Review Dates for your direct reports from the HRL:
  - Develop an annual plan enabling you to complete all evaluations by the due date.
  - Complete the evaluations up to 60 days before the respective employee's Merit Review Date, but not before that. Merit employees are eligible for merit pay increases after one year of satisfactory performance, so they need to be given full opportunity to earn this.
  - In consultation with your supervisor and your HRL, determine how you may incorporate employee self-assessment into the evaluation process.
- Complete a performance evaluation for each merit employee.
  - At the beginning of each month, you will receive email notification for each merit review you are responsible to complete by the 1<sup>st</sup> of the following month.
  - For merit employees who have been on LWOP for more than 30 days but whose names appear on your monthly list, notify your HRL immediately.
  - Complete each evaluation:
    - Request guidance from your HRL and your supervisor in advance if you are contemplating issuing an overall rating of unsatisfactory
    - Hold the evaluation conference with the employee
    - Sign the completed evaluation.
    - Secure the employee's signature, which indicates receipt of the evaluation, not necessarily agreement
    - If the employee refuses to sign, write "Employee refused to sign", adding the current date and your legibly-written initials next to this
    - Provide the employee with a signed copy of the evaluation form
    - Notify employees who receive a satisfactory evaluation that they will receive a merit increase, effective on their merit review date
- Manage employees who earned unsatisfactory ratings.
  - Partner with departmental HR Liaison and/or UHR Employee and Labor Relations for support with managing unsatisfactory performance.
  - Notify employees who earn an unsatisfactory performance evaluation that they are not eligible to receive a merit pay increase only after you subsequently document satisfactory performance. This is referred to as a deferred increase.
  - Implement strategies to help the employee improve, and then hold the employee accountable for meeting expectations.

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- **Immediately** after the evaluation meeting, submit the [Merit Performance Appraisal Confirmation](#) form to University Human Resources (UHR) to ensure the employee receives an accurate and timely merit pay increase
  - Submit the Confirmation form to: University Human Resources, Records Management Office, 3810 Beardshear Hall.
  - The Confirmation form must be received by UHR by the **1<sup>st</sup> day of the month** for that merit review date.
  - Notify your HRL that this evaluation was completed, and follow all department-specific processes for notifications, document retention, etc.
- It is recommended that supervisors promptly develop and implement a Performance Improvement Plan (PIP) for each merit employee who receives an unsatisfactory overall performance rating.
  - Typically, the PIP should be implemented within two weeks of an unsatisfactory evaluation.
  - Seek out support from management and the HRL to develop the PIP. The HRL will forward your final draft to UHR ER/LR for review. ER/LR must have a final copy of the PIP for review and approval at least 5 business days in advance of issuing to employee.
  - Merit employee PIPs must be at least 90 calendar days in length to allow the employee adequate opportunity to develop skills and consistently display satisfactory performance.
  - Meet weekly with the employee to discuss performance, and document the discussion on the PIP.
  - When satisfactory progress is not made on the PIP, work with the HRL and ER/LR regarding options to address. Following a period of coaching and documentation, it may be appropriate to address continued unsatisfactory performance with formal discipline. Please work closely with your HRL and ER/LR.

## Human Resource Liaison Responsibilities

- Notification
  - Each July 1, review the yearly list of merit review dates to supervisors.
  - Regularly pull the report of upcoming merit review dates. Develop a plan to manage communication with supervisors to ensure they receive ample notice of important dates along with any department-specific expectations.
  - After receiving monthly emails to supervisors of employees with upcoming review dates, verify the information with your records to ensure there are no discrepancies.
  - Promptly follow up with Cindy Van Loon in UHR to rectify any discrepancies and to verify the accuracy of merit review dates for employees who have been on LWOP for more than 30 days.
  - Notify supervisors of any department-specific requirements that supplement the UHR-required evaluation and notification processes.
- Performance Evaluation Process
  - Upon request, provide guidance to supervisors with writing performance evaluations using language that is clear, relevant, accurate and supportive of employee engagement and growth.
  - Upon notification from a supervisor who is considering the issuance of an unsatisfactory performance appraisal, review existing documentation to ensure the unsatisfactory rating is warranted and the supervisor has provided relevant, documented feedback to the employee during the evaluation cycle.
  - Submit the final draft of the unsatisfactory evaluation to the ER/LR Consultant for review at least 5 business days before the scheduled evaluation meeting.

## **Roles/Responsibilities with Performance Management for Merit Employees**

- Performance Improvement Plan
  - Provide guidance and expertise to the supervisor in the development of PIPs.
  - Submit the final draft of the PIP to the ER/LR Consultant for review at least 5 business days before the meeting with the employee to initiate the PIP.
  - After the PIP has been signed by the supervisor and employee, provide a signed copy of to the ER/LR Consultant.
  - Throughout the PIP period, stay in communication with the supervisor. If progress is not being made toward the expectations outlined in the PIP, work with ER/LR to address through formal discipline or other methods as appropriate.
  - Partner with the ER/LR Consultant to coach and support the supervisor in closing out the PIP with the employee.
  - Consult with the supervisor to determine if the PIP will be successfully completed, if an extension may be warranted due to a significant number of approved work absences or leave, or if the employee didn't meet the expectations of the PIP.
  - When an employee has not met the expectations of the PIP, at least 10 days prior to the PIP's end date, notify the ER/LR Consultant, providing all relevant documentation. Partner with ER/LR to discuss next steps and whether to extend the PIP and/or address continued unsatisfactory performance with formal discipline. Provide a copy of the completed and closed PIP to the ER/LR Consultant for recordkeeping in ER/LR file.

### **UHR Employee and Labor Relations Consultant Responsibilities**

- Upon request, provide support and guidance to supervisors and HRLs during any step of the evaluation or remediation process.
- Review drafts of performance evaluation forms and PIPs, and provide recommendations that are consistent with best practice within 5 days of receipt.
- Approve final draft of the PIP within 5 days of receipt prior to it being issued to employee.
- Collaborate with supervisors and HRLs when progress not being made on the PIP in order to determine if formal discipline is appropriate.
- When employees are recommended for PIPs and formal discipline up to and including termination, perform a thorough record review, including review of position and classification history, leave of absence history, use of FMLA, disability accommodations, disciplinary action and performance interventions, contents of the personnel file, grievances, layoffs, etc. Make recommendations on the advisability of next steps based upon the outcome of this review.
- Partner with Office of University Counsel when legal expertise is needed.