



UNIVERSITY OF  
**ILLINOIS**  
SPRINGFIELD

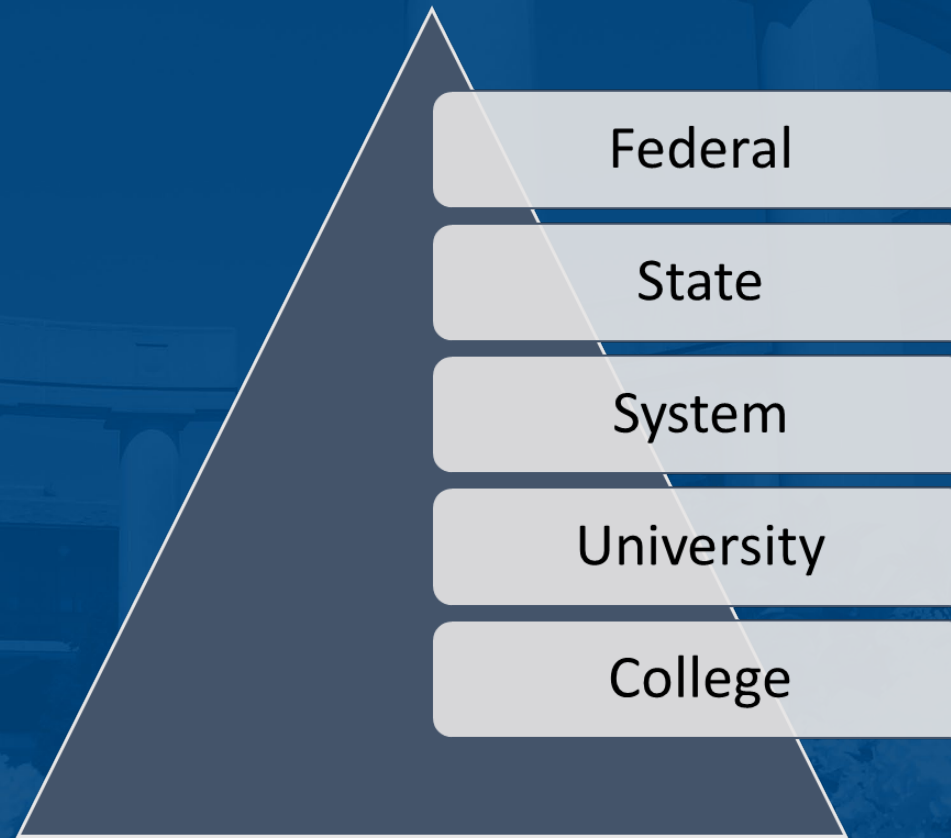
# Employee Performance Management

UIS Human Resources

# Objectives for today

- Review external and internal policies related to performance management
- Provide an overview of the on-going performance management process
- Discuss specific guidelines for conducting a performance review
- Discuss common performance issues and identify ways to reward or remedy employee performance
- Review available employee complaint procedures for challenging performance management outcomes

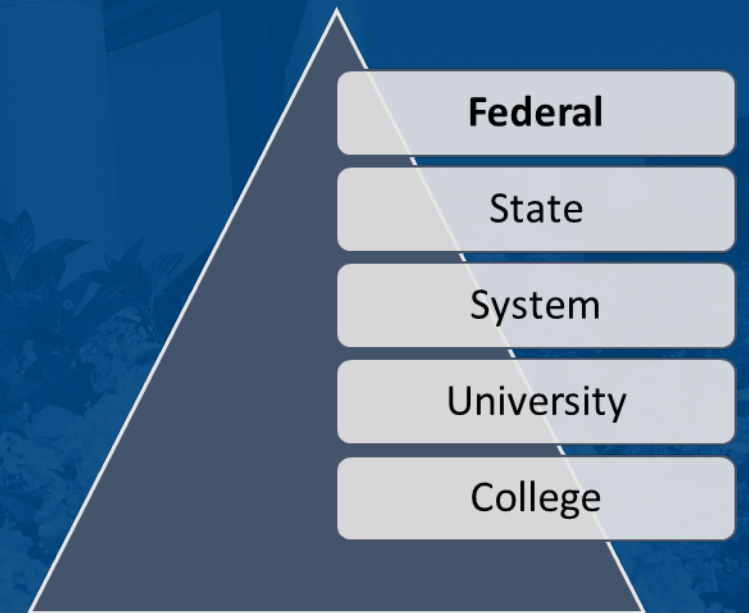
# Employment Governance





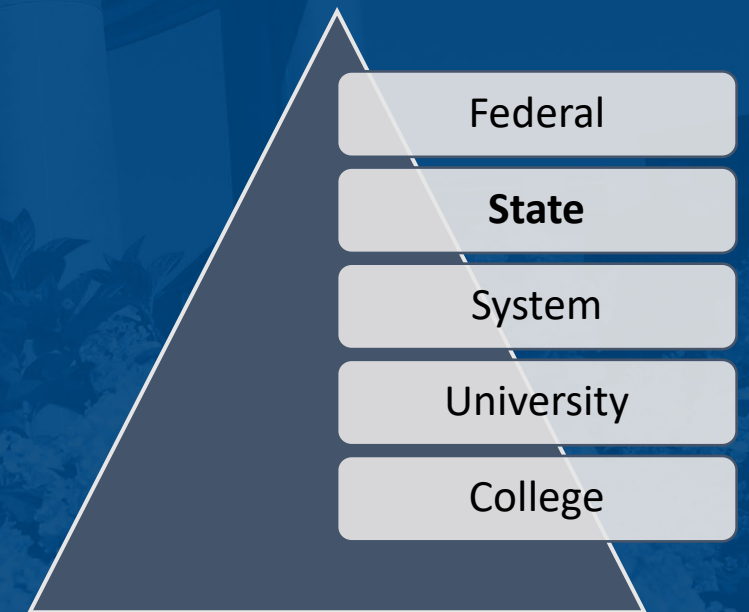
# Employment Governance – Federal

- **Americans with Disabilities Act (ADAAA)**
- **Age Discrimination in Employment Act (ADEA)**
- **Fair Labor Standards Act (FLSA)**
- **Family and Medical Leave Act (FMLA)**
- **Title VII**



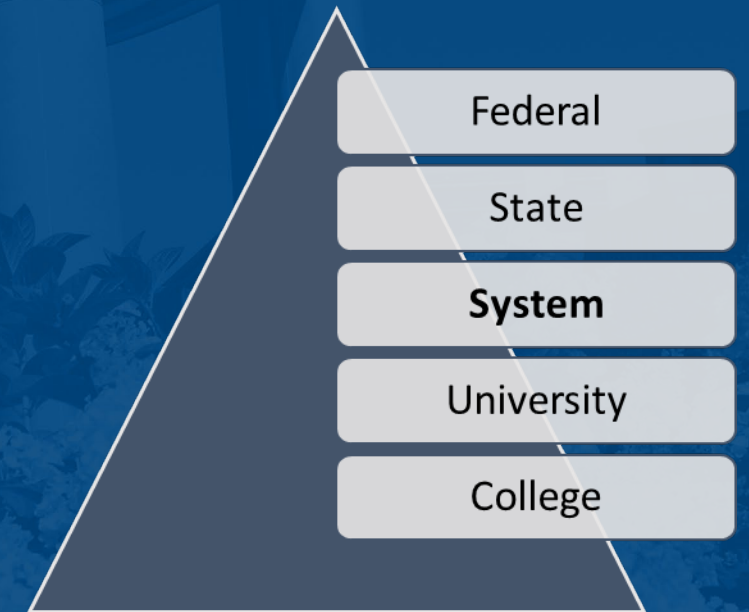
# Employment Governance – State

- Minimum wage
- VESSA
- Ethics Act
- State University Civil Service System
- CMS
- SURS



# Employment Governance – System

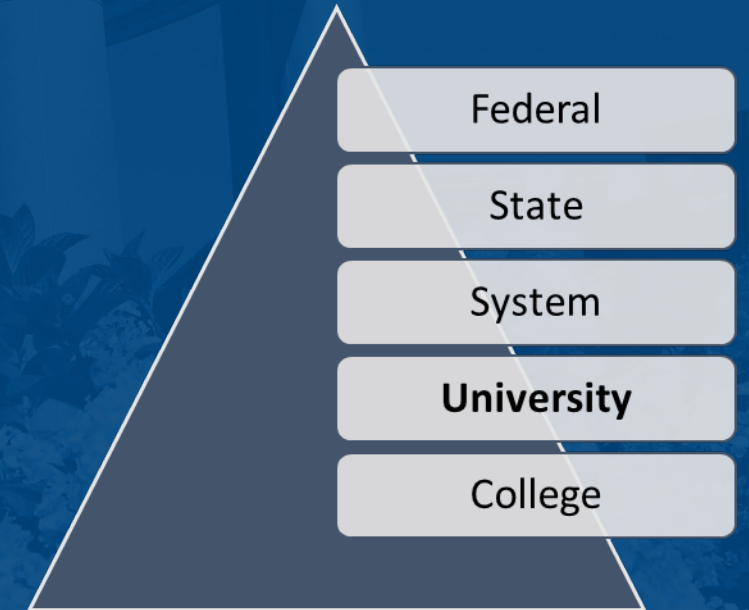
- University statutes
- University policies and rules
- General rules
- OBFS rules and regulations
- University code of conduct
- Nondiscrimination statement
- Academic integrity





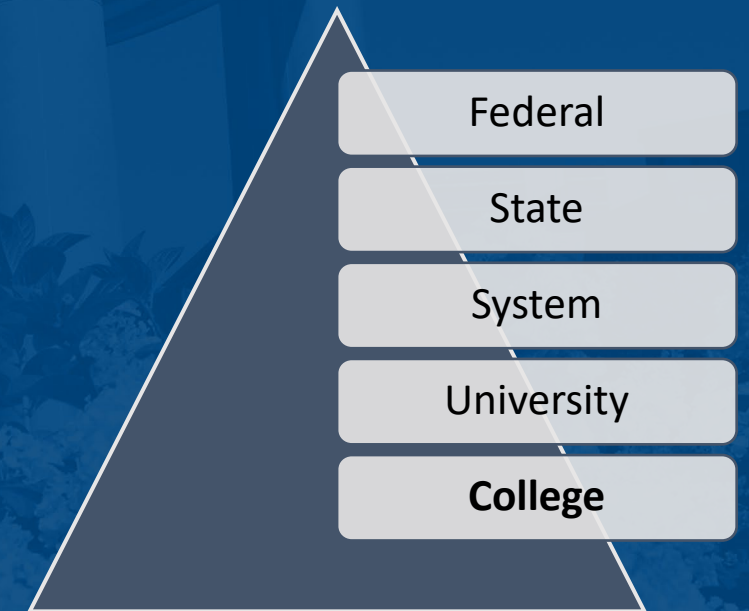
# Employment Governance – University

- **UIS HR Policies and Procedures**
- **Collective Bargaining Agreements**



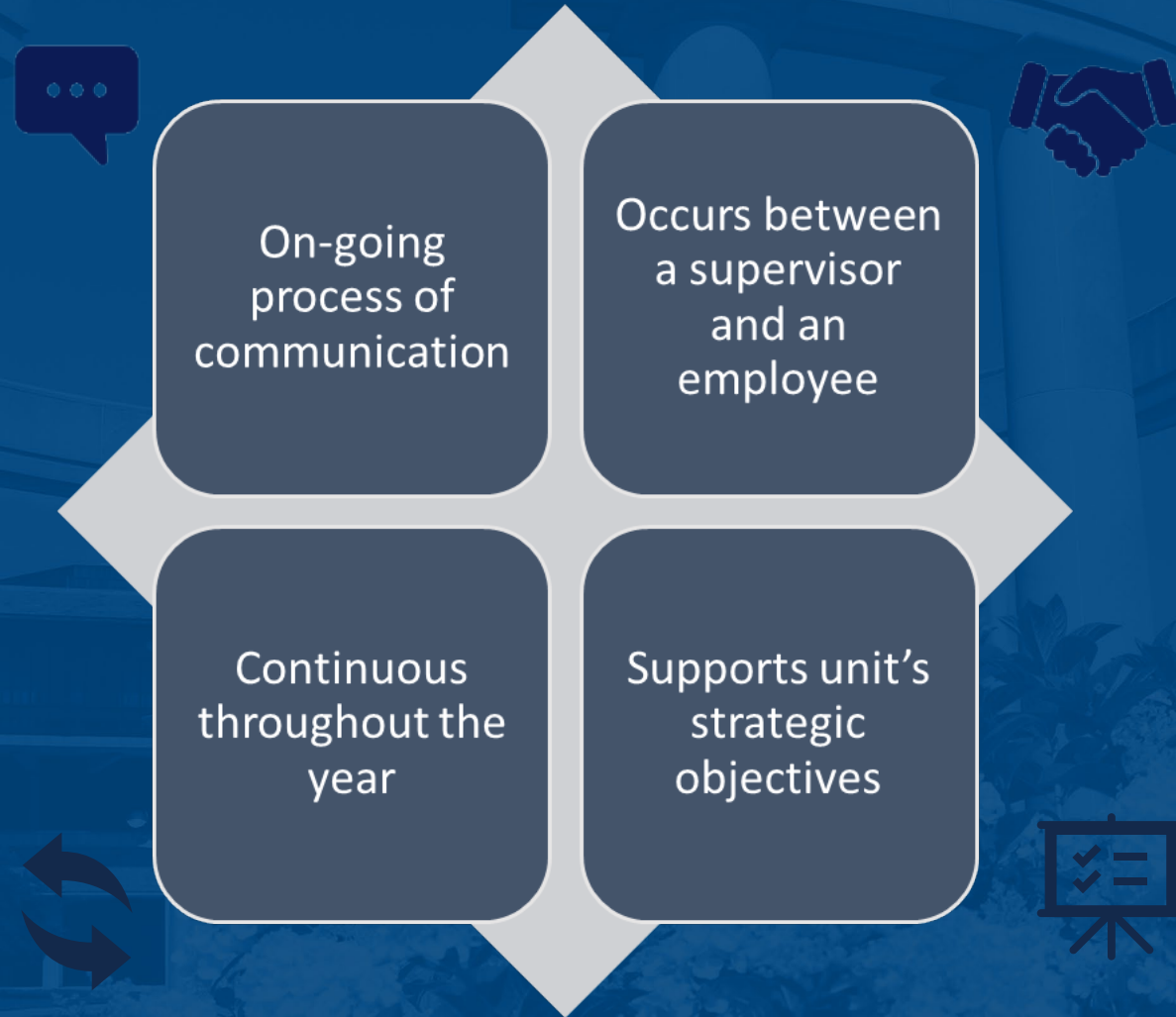
# Employment Governance – College

- **Various operational guidelines**
  - Dress code
  - Salary application
  - Call-in procedures





# Performance Management – What is it?



# Performance Management - Roles

## Campus leaders

- Create strategic plan
- Provide goals

## Supervisor

- Identifies job duties and goals
- Observes, evaluates, and documents performance

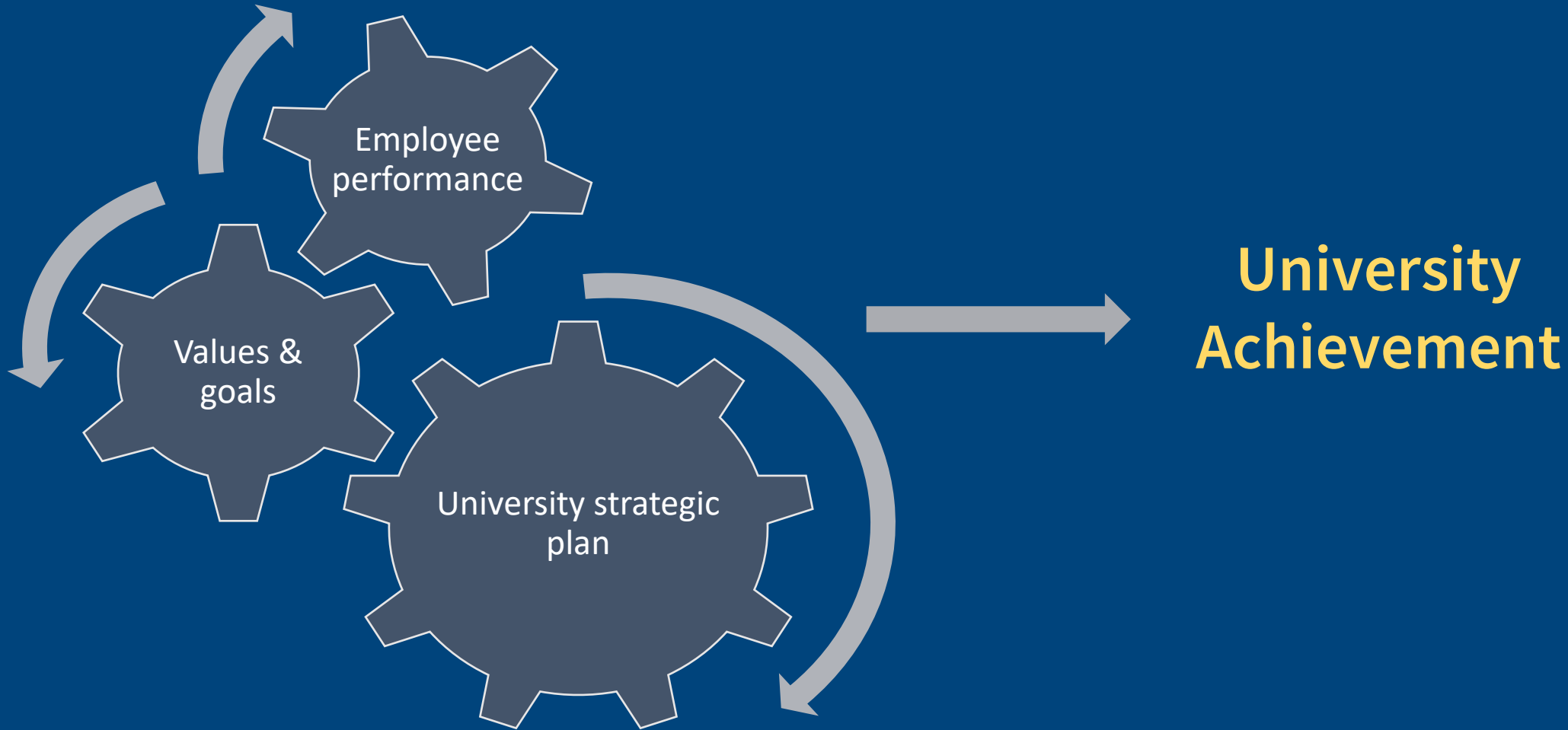
## Supervisor & employee

- Develop goal plan
- Engage in dialogue

## Employee

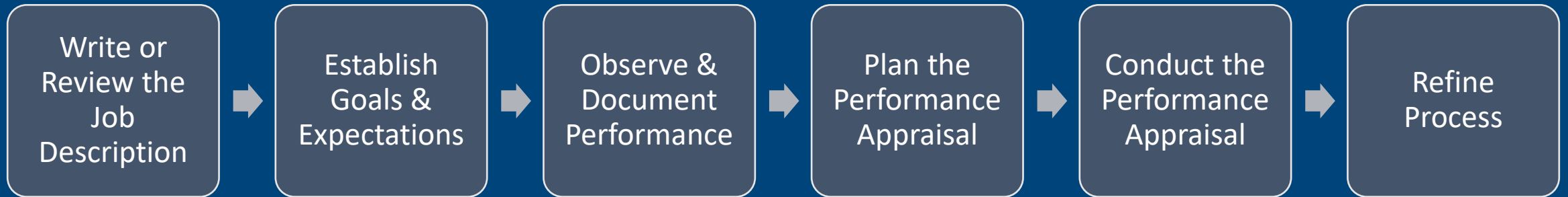
- Performs and meets expectations
- Listens and acts on feedback
- Provides feedback on the workplace

# Performance Management - Impact





# Performance Management - Process



# Performance Management - Criteria

## Job performance

How the employee **performs** the duties of the job

- i.e. Completes accurate business reports on time

## Conduct

How the employee **behaves** at work

- i.e. Repeatedly interrupts others when they are speaking

## Attendance

The employee's **presence** at work

- i.e. Does not request time off in accordance to the department's call in procedures

# Performance Management – Supervisor Requirements





# Quiz Question #1

How often should a supervisor complete a performance appraisal for a non-probationary employee?

# Quiz Answer #1

The review instrument should be completed once a year.

However, performance management activities are ongoing.

# Performance Management – What is it?

## What is it?

A job description outlines current duties and responsibilities of an individual position, specifies which of those duties are essential to the position, and provides information concerning the knowledge, skills and abilities necessary to perform the job.

## Why is it important?

- ☐ Common understanding responsibilities and duties of the job
- ☐ Reporting relationships
- ☐ Environmental demands of the position
- ☐ It explains **WHAT** needs to be done, not **HOW**.

Write or  
Review the Job  
Description

Establish Goals  
& Expectations

Observe &  
Document  
Performance

Plan the  
Performance  
Appraisal

Conduct the  
Performance  
Appraisal

Refine Process



# Performance Management – Goal Setting

- Shared responsibility between supervisor and employee that **builds commitment** and ownership
- Sets the stage for **effective communication of expectations** that are mutually understood
- Uses the job description in **goal development**, agrees on **objectives** for the coming year, and identifies standards to **measure achievements**

Write or  
Review the Job  
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**Establish Goals  
& Expectations**

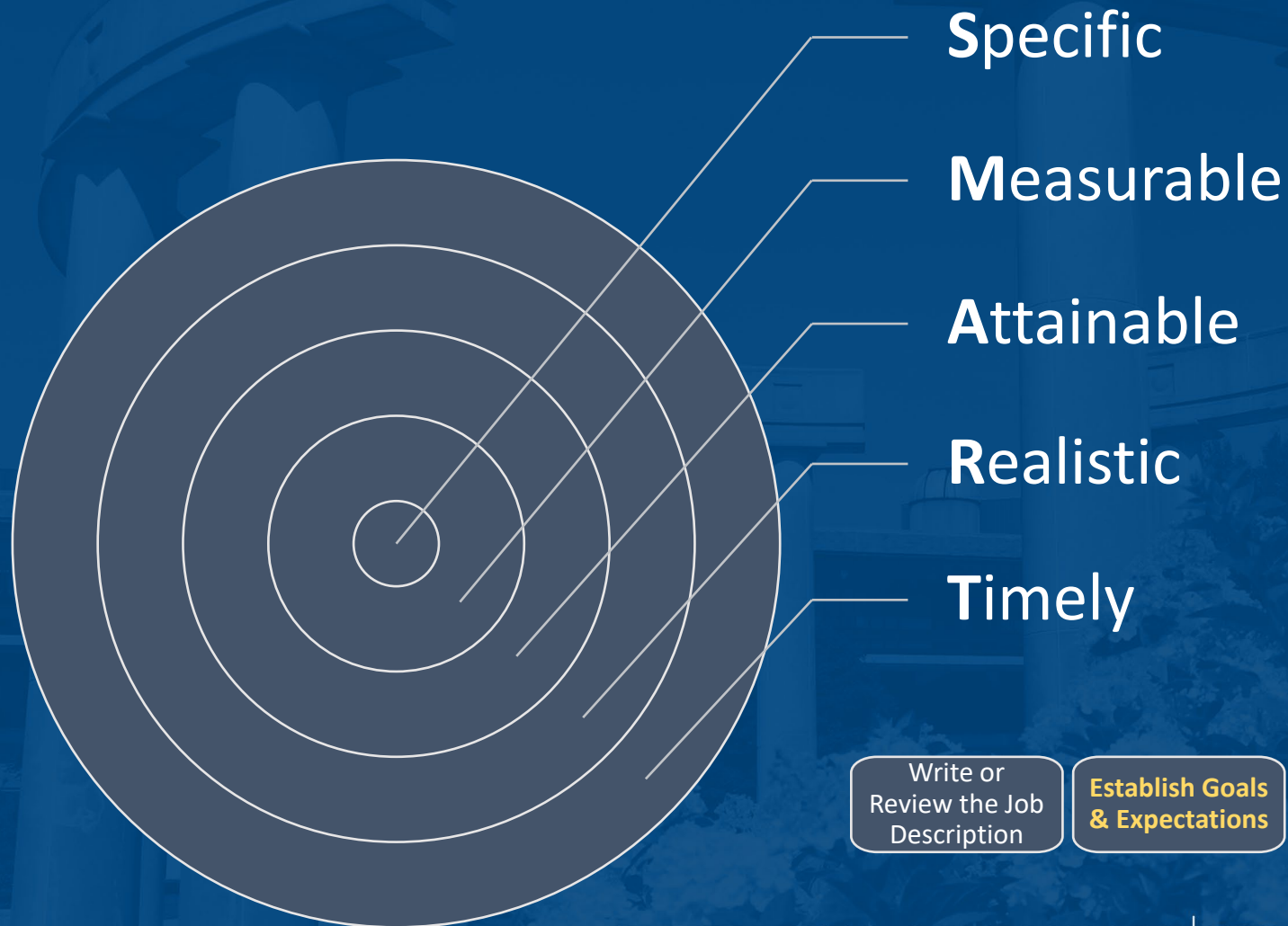
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# Performance Management – Goal Setting



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Refine Process

# Performance Management – Goal Setting

- Establish easier goals using proven skills and knowledge
- Assign productive work right away
- Make short-term objectives

Planning tips for new employees



- Set realistic goals
- Check-in more frequently
- Performance improvements in a reasonable time frame

Planning tips for challenging or marginal performers



- Set challenging goals
- Allow for self-evaluation of capabilities
- Give more autonomy

Planning tips for experienced, confident, employees



Write or Review the Job Description

**Establish Goals & Expectations**

Observe & Document Performance

Plan the Performance Appraisal

Conduct the Performance Appraisal

Refine Process



# Performance Management – Observe & Document

- Observe performance or conduct
- Collect accurate, objective, and complete data
- Record facts or actions as they occur (both positive and negative)
- Discuss with the employee when it occurs
- Use documentation in disciplinary cases

Write or  
Review the Job  
Description

Establish Goals  
& Expectations

**Observe &  
Document  
Performance**

Plan the  
Performance  
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Conduct the  
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Appraisal

Refine Process



# Performance Management – Observe & Document

Observe:	<ul style="list-style-type: none"><li>You see that John Smith sent you his end-of-year report today by email.</li></ul>
Determine Facts	<ul style="list-style-type: none"><li>Your email to him stated it was due yesterday. It is a day late.</li></ul>
Discuss	<ul style="list-style-type: none"><li>You meet with John, and you discuss the pre-stated deadline, and the impact of his actions.</li></ul>
Record	<ul style="list-style-type: none"><li>You send John an email highlighting your discussion.</li></ul>
Respond	<ul style="list-style-type: none"><li>The next month, you acknowledge that John met key deadlines or...</li></ul>

DATE	PERFORMANCE EVENT	EXPECTATION	OUTCOME(S)	DISCUSSION
<b>EXAMPLE:</b> 11/17/22	John submitted EOY report 11/16/22	Report expected on 11/15/22 (see email attached)	Unable to meet Dean's deadline for review of departmental reports	Met with John 11/18/22

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**Observe &  
Document  
Performance**

Plan the  
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Refine Process

# Performance Management – Planning the Appraisal

## Why conduct a performance appraisal?

- Policy compliance
- Good human resources practice
- Framework for setting goals
- Forum for individual career development
- Plan for addressing performance problems
- Tool for determining salary treatment
- Marker for all the above events to happen

## When should I conduct it?

- According to University policy, the review must occur once per year
  - April – March
  - Due in June
- However, as part of performance management, the performance review is a continuing, ongoing activity throughout the year

## Who conducts it?

- The immediate supervisor is responsible for formally evaluating the performance of subordinates

Write or  
Review the Job  
Description

Establish Goals  
& Expectations

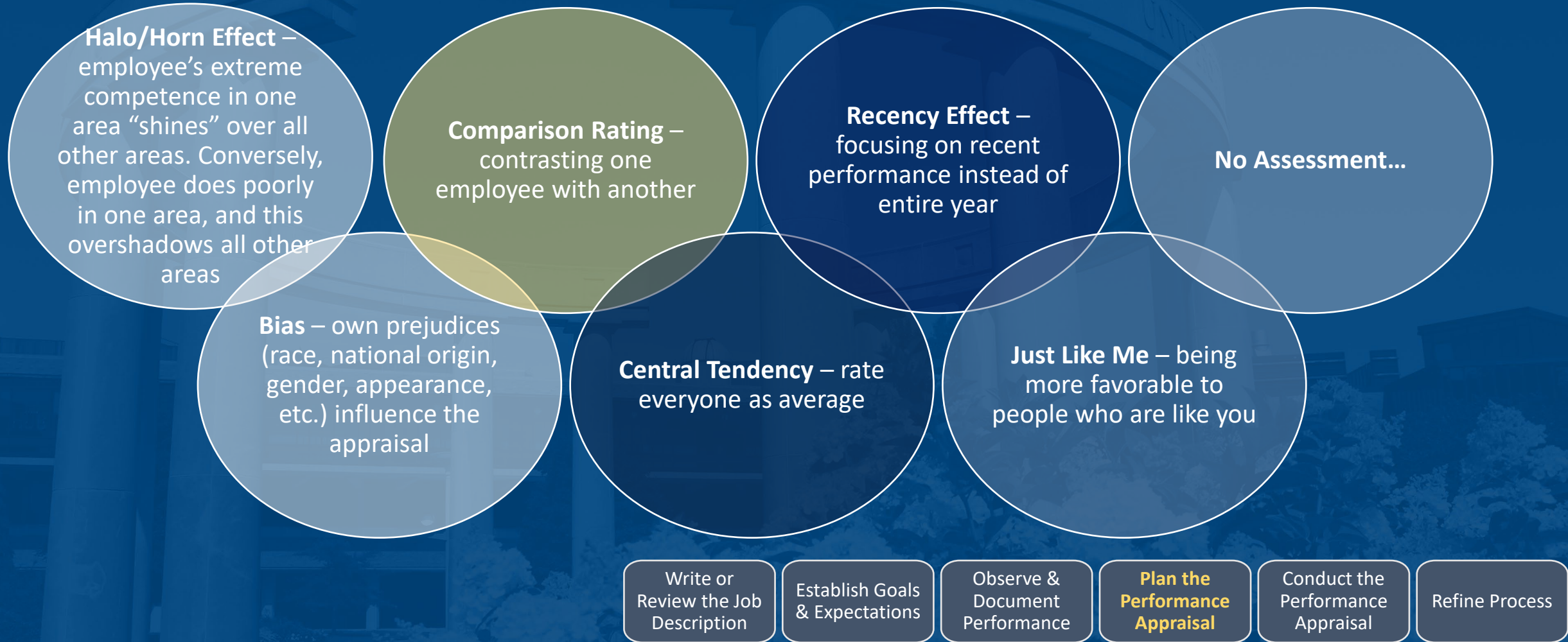
Observe &  
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**Plan the  
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Refine Process

# Performance Management – Planning the Appraisal





# Performance Management – Planning the Appraisal

Positive recognition: *Recognizing good performance is one of the best ways to encourage continued good performance.*



Write or  
Review the Job  
Description

Establish Goals  
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Observe &  
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Performance

**Plan the  
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Refine Process

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# Performance Management – Conduct the Appraisal

Describe the meeting's importance

Describe how you would like to start

Plan for the future by setting goals/expectations for the next year

Confirm employee's understanding

Explain the performance appraisal period and past performance

Write or Review the Job Description

Establish Goals & Expectations

Observe & Document Performance

Plan the Performance Appraisal

**Conduct the Performance Appraisal**

Refine Process



# Performance Management – Conduct the Appraisal

During the performance appraisal

- Be candid
- Be positive
- Be constructive
- Listen, then give thoughtful responses
- Be yourself – use humor, if appropriate
- Ask open-ended questions
- Allow time for reflection and further comments

Write or  
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**Conduct the  
Performance  
Appraisal**

Refine Process

# Performance Management – Conduct the Appraisal

## Navigating difficult employees

- Be specific in your feedback
- Set boundaries at the beginning of the meeting
- Keep a neutral tone
- Do not react to defensive behavior
- Explain consequences of the employee's failure to show necessary improvements

**Remember – you are the supervisor, and you have control of the meeting.**

Write or  
Review the Job  
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**Conduct the  
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Refine Process

# Quiz Question #2

Does an employee have to sign their performance appraisal?

# Quiz Answer #2

Generally, yes, but they do not have to agree to its contents.

- “I understand the contents of this performance review” *or*
- “I understand, but disagree, with the contents of this performance review”

# Corrective Action and Progressive Discipline

Disciplinary actions are to be applied consistently, impartially, and fairly.

Before taking any formal disciplinary action, supervisors should consult with UIS Human Resources.



# Corrective Action and Progressive Discipline

## Civil Service

Policies and  
Rules –  
Chapter 16

Performance  
Partnership  
Program (PPP)

Collective  
Bargaining  
Agreements

# Corrective Action and Progressive Discipline

## Civil Service

### University of Illinois Policies & Rules

#### Principles:

- Discipline must be **consistent, impartial, and fairly applied**.
- Decisions must result from **informed and unbiased investigations**.
- Discipline must **not be arbitrary or capricious**.

#### Types of Corrective Action:

- Verbal Warnings and Reprimands
- Letters of Warning/Reprimand
- Disciplinary Suspensions

#### Pre-Disciplinary Meeting

- Requires investigation/consultation
- Employee is entitled to bring a representative
- 3 workdays notice generally required

University of Illinois

Policy and Rules

**POLICY 16**  
**CONDUCT AND DISCIPLINE**

**Rule 16.06 - Corrective Action and Progressive Discipline**

The University will strive to insure consistent and uniform treatment in disciplinary matters for all Civil Service employees. Disciplinary suspensions and lesser forms of corrective action or discipline such as verbal warnings and reprimands, letters of warning, and letters of reprimand are not subject to review by the Merit Board of the State Universities Civil Service System. Effort should be made to apply discipline consistently, impartially, fairly, and firmly. Decisions on discipline shall not be made in an arbitrary or capricious manner but as a result of informed and unbiased investigations. Internal operating procedures will be established that provide for a thorough investigation prior to a predisciplinary meeting with the employee and the employee's representative when formal discipline is anticipated. Notification of a predisciplinary meeting shall be given to the employee at least three (3) work days before the scheduled date of the meeting, unless there is potential threat to University property or human resources or unless otherwise specified in a collective bargaining agreement. In certain circumstances when an offense is of a serious nature, the principles of corrective action and progressive discipline may not be applicable, and immediate suspension or discharge may be warranted.

**Regulations**

16.061 **Progressive Discipline**  
Officials of the University will follow the principles of corrective action and progressive discipline for offenses as defined by the University. Before taking disciplinary action, consultation will be held with the appropriate staff of the campus human resources office.

16.062 **Responsibility for Disciplinary Action**  
Normally, designated supervisors or unit officials are responsible for administering disciplinary measures. Before taking disciplinary action, supervisors and unit officials shall consult with the appropriate staff of the campus human resources office. Each campus human resources office shall develop procedures for administering the levels of corrective action and progressive discipline.

If disciplinary action for the same reason(s) is taken simultaneously against numbers of employees assigned to several colleges or units, this action shall be taken by an official at an organizational level that covers all employees affected.

16.063 **Leave with Pay Pending Appropriate Action**  
In certain cases, the employee's presence on the job may be detrimental to the employee and/or the operating unit, or constitute a substantial risk of injury to life or property. In such cases, the supervisor or designated unit official shall consult with the unit head and

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# Corrective Action and Progressive Discipline

## Civil Service

### Performance Partnership Program

#### Principles:

- Discipline must be **consistent, impartial, and fairly applied.**
- Discipline must **not be arbitrary or capricious.**
- **Emphasis on problem solving over punishment.**

#### Types of Informal Action:

- **Positive Contact**
- **Positive Recognition Letter**
- Constructive Contact
- Performance Improvement Discussion (PID)

#### Types of Formal Action:

- Work Performance Reminder (WPR) – 12 months
    - 2 instances
  - Written Reminder (WR) – 24 months
    - 2 instances
  - Decision Making Leave – 24 Months
- \*Ineligible to test until discipline period complete*

#### Pre-Disciplinary Meeting:

- Required for all formal discipline
- 3 workdays notice required to employee and Union (consult Collective Bargaining Agreement)
- A member of UIS Human Resources, Labor and Employee Relations **must be present**



# Corrective Action and Progressive Discipline

## Civil Service

### Discharge – State University Civil Service System

#### Preliminary Steps

- Documentation of infractions
- Record of progressive discipline (oral warning → written reprimand → suspension)
- HR review and recommendation

#### Employee Rights

- Right to written notice of charges
- Right to request a Merit Board hearing
- Right to union representation (if applicable)
- Must choose either Merit Board appeal or union grievance—not both

#### Timeline

- Appeal must be filed within 15 calendar days of notice
- Hearing conducted by Merit Board or designated hearing officer
- Decision based on whether discharge was arbitrary or capricious



# Corrective Action and Progressive Discipline

## Civil Service

Dismissal in Probation – State University Civil Service System

### Dismissal in probation

- The probationary period is an extension of the exam
- Units can dismiss an employee during probation if employee fails to demonstrate the abilities and qualifications necessary for the position
- Contact UIS Human Resources to initiate process

**The employee must be dismissed PRIOR to the last day of probation. If they work one minute on the last day, they cannot be dismissed in probation.**





# Corrective Action and Progressive Discipline

## Civil Service



Always consult with UIS Human Resources prior to initiating any disciplinary action!

# Corrective Action and Progressive Discipline

## Academic Professional

Letter of  
Expectation  
(LOE)

Notice of Non-  
Reappointment  
(NONR)

# Corrective Action and Progressive Discipline Academic Professional

Letter of Expectation (LOE)

## Principles:

- Discipline must be **consistent, impartial, fair, and firmly applied.**
- Discipline must **not be arbitrary or capricious.**
- **Emphasis on problem solving over punishment.**

- Clearly outline expectations for performance and/or conduct
- Provide justification for taking employment action
- May include a *Performance Improvement Plan (PIP)*
- *If corrective steps do not result in acceptable work performance, employees may be subject to a Notice of Non-Reappointment.*

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# Corrective Action and Progressive Discipline

## Academic Professional

### Letter of Expectation (LOE)

Dear <Employee>,

As communicated to you during our meeting held on <Date>, I am writing to clarify your job responsibilities as a full-time <Title> in the office of <Unit/Department>. As your direct supervisor, it is my expectation that each workday you will report to work, maintain regular work hours from <hours>, and complete work assignments in a timely and productive manner. In addition, in order to address the performance concerns I raised with you during our meeting, you are expected to:

*Insert Expectation 1*

*Insert Expectation 2*

*Insert Expectation 3*

I will schedule regular meetings with you to discuss your progress in these areas. I am hopeful this guidance will assist you in achieving and sustaining the level of performance necessary to be successful in your position.

Sincerely,

<Supervisor>



# Corrective Action and Progressive Discipline Performance Improvement Plan (PIP)

1. Clear and Specific SMART goals
2. Defined Timeline
3. Include milestones and check-in dates to monitor
4. Actionable Steps and
5. Open and Honest Communication
6. Consequences

*Keep the tone constructive and focused on growth – we want our employees to be successful!!*

# Corrective Action and Progressive Discipline

## Academic Professional



Always consult with UIS Human Resources prior to initiating any Letter of Expectation!

# Corrective Action and Progressive Discipline Academic Professional

## Notice of Non-Reappointment (NONR)

- Formal process in which the Board of Trustees issues a “Notice of Non-reappointment” which is required for termination of full-time, non-visiting academic professional staff.
- University of Illinois Statutes, Article IX, Section 11 (a)-(f).



# Corrective Action and Progressive Discipline Academic Professional

## Notice of Non-Reappointment (NONR)

- Formal process in which the Board of Trustees issues a “Notice of Non-reappointment” which is required for termination of full-time, non-visiting academic professional staff.
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# Corrective Action and Progressive Discipline

## Academic Professional

### Notice of Non-Reappointment (NONR)

#### Required Notice Periods

Source of Funds	Years of Eligible Service	Months of Required Notice
Hard	Less than 4	6 months
Hard	4 or more	12 months
Soft	Less than 4	2 months
Soft	4	6 months
Soft	5	7 months
Soft	6	8 months
Soft	7	9 months
Soft	8	10 months
Soft	9	11 months
Soft	10	12 months

# Corrective Action and Progressive Discipline

## Academic Professional

Notice of Non-Reappointment (NONR)

Required Notice Periods

*Director of Intercollegiate Athletics and coaches of athletic teams*

Years of Eligible Service	Months of Required Notice
Less than 4	3 months
4 or more	6 months
10 or more	6 months

# Corrective Action and Progressive Discipline

## Academic Professional

### Notice of Non-Reappointment (NONR)

#### Examples

- A unit initiates the process for terminating an employee entitled to 12-months' notice in late February. The Board of Trustees (BOT) will extend the employee's current contract to the following March to fulfill the notice requirement. (Dates of notice period could be March 16 of current year through March 15 of following year.)
- An employee is to be provided with 6 months' notice. The unit provides a letter of notification to the employee with copy to the Office of Illinois Human Resources (IHR) on April 1. The BOT will offer the employee an extension of his or her current appointment from August 15 to October 15, and the total period of the terminal contract could be from April 16 through October 15.



# Corrective Action and Progressive Discipline

## Academic Professional

### Notice of Non-Reappointment (NONR)

#### Examples

- For employees with contracts ending August 15 (the most common situation), if the notice by the unit is provided by the following dates, the BOT should be able to issue the appropriate notice of non-reappointment:
  - January 30\* – For a staff member due 6 months' notice, the unit should inform the staff member in writing that the BOT is being requested to issue a Notice of Nonreappointment. Units shall consult with IHR regarding the notice, then forward a copy of the letter to the employee and also submit it to the Assistant Provost.
  - July 1\* – For a staff member due 12 months' notice, the unit should inform the staff member in writing that the BOT is being requested to issue a Notice of Nonreappointment. Units shall consult with the Assistant Provost and campus HR regarding the notice, then forward a copy of the letters to the employee and also submit it to Assistant Provost and campus HR. The notice period would be from the upcoming August 16<sup>th</sup> through the following August 15<sup>th</sup>.



# Corrective Action and Progressive Discipline

## Academic Professional

### Notice of Non-Reappointment (NONR)

#### Examples

- An academic professional with an appointment that is subject to the receipt of funds (as indicated on the Notification of Appointment), who is entitled to two months of notice as set forth in Art.IX (11) (b) (2) (i.e., has less than 4 years of service credit relevant to the calculation of length of notice required), is notified of the early termination of his or her appointment due to the loss of soft funds on April 1. The employee's appointment may not be terminated earlier than May 31.
- An employee with an appointment that is subject to the receipt of funds (as indicated on the Notice of Appointment), who is NOT entitled to notice rights under the Statutes, is notified of the early termination of his or her appointment due to the loss of soft funds on April 1. The employee is not entitled to any specific amount of notice regarding this early termination. The appropriate amount of courtesy notice will be determined based upon the circumstances, through consultation with UIS Human Resources.

# Corrective Action and Progressive Discipline

## Academic Professional

### Notice of Non-Reappointment (NONR)

#### Processes

1. **The department head/supervisor consults with the Assistant Provost** on procedures to correctly provide a supervisor's Notice of Non-reappointment (NONR) and necessary timelines for the Board of Trustees to issue their NNR to the employee.
  1. Provost Office consults with UIS Human Resources
2. **Issue the Supervisor's NONR to employee** *(please contact Allison Decker for sample template).*
  1. The supervisor's letter should NOT contain specific dates of termination.
  2. Must have the correct home address to ensure the BoT formal letter is sent to the right place.
  3. Forward a copy to the Division Head, Assistant Provost, and Human Resources.
3. The HR Front End (HRFE) transaction and Banner entries will be completed by the Assistant Provost and campus HR.
4. Once the HRFE and Banner transactions have been entered, the Secretary of the BoT will issue the official notice of non-reappointment prior to the beginning date of the notice period.
  1. The notice is mailed to the employee's home address with a copy sent to the Provost office.
  2. The Provost Office files a copy in the employee's contract file.
5. The BoT approves the non-reappointment or terminal contract at the BoT meeting.

# Corrective Action and Progressive Discipline

## Academic Professional



Always consult with the Provost Office or UIS HR prior to initiating any NONR!



# Do's and Don'ts of Performance Management

## Do's

- Clearly Define Performance Expectations
- Document Thoroughly
- Apply Consistently
- Provide Regular Feedback
- Allow Employee Participation
- Communicate Transparently
- Follow Established Procedures
- Handle Special Situations with Care



*We want our employees to be successful.*

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# Do's and Don'ts of Performance Management

## Don'ts

- Don't Base Evaluations on Subjective or Biased Opinions
- Don't Delay Addressing Performance Issues
- Don't Use Performance Management to Punish Union or Protected Activities
- Don't Make Plans or Reports Vague or Ambiguous
- Don't Use Personal or Emotional Language
- Don't Ignore Privacy Laws
- Don't Compare Employees Unfairly
- Don't Fail to Provide Appeals, Referral or Review Options

*We want our employees to be successful.*

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Always consult with UIS Human Resources for matters pertaining to Performance Management.

# Quiz Question #3

What can an employee do if they want to challenge a decision related to their job or performance?

# Quiz Answer #3

An employee may speak with their union representative, supervisor and/or UIS HR staff.

They may also go to their campus representative group (APAC/CSAC) additional guidance.



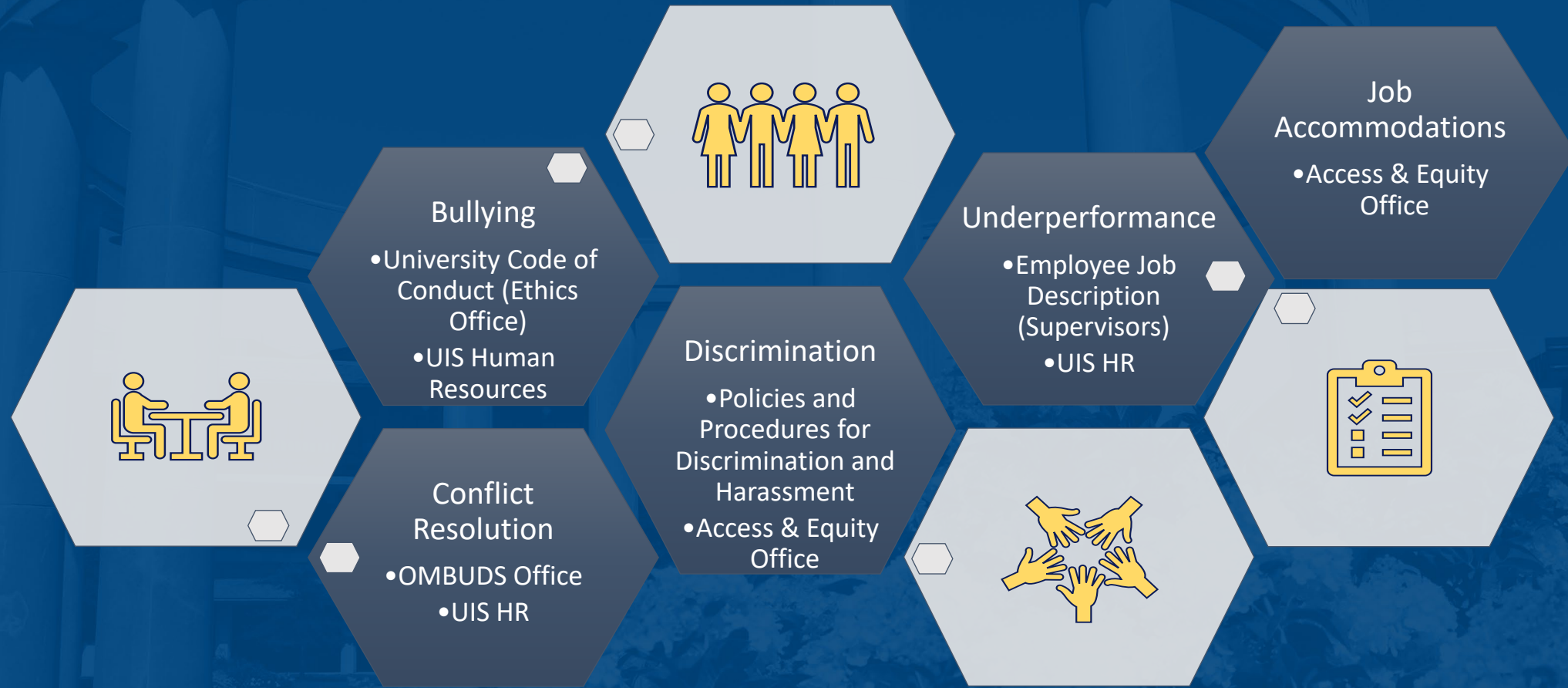
# Quiz Question #4

How can a supervisor be best prepared for a challenge to an employment decision?

# Quiz Answer #4

Through proper performance  
management!!

# Performance Management Special Situations



# UIS Human Resources





# Quiz Question #4

Who should you contact if you have questions about Performance Management?

# Quiz Answer #4



Always consult with UIS Human Resources for matters pertaining to Performance Management.

# UIS Human Resources

[uishr@uis.edu](mailto:uishr@uis.edu)

217-206-6652

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# Questions???

Always consult with UIS Human Resources for matters pertaining to Performance Management.