

University at Albany
State University of New York

**Campus Guidelines for the Distribution of the 2017-2018
1% Lump Sum Discretionary Salary Awards for UUP Members**

This document is intended to describe the process for awarding discretionary awards in fiscal year 2018/19 to reflect outstanding performance in fiscal year 2017/18. The 2018/19 awards will be a one-time lump sum award not added to base. The lump sum awards will be paid in two payments December 26, 2018 and January 23, 2019.

Funds Available - Funds available to the campus for discretionary salary awards will be based on one percent (1.0%) of the total base annual salaries of employees on State-funded positions as of 6/30/2018. A salary roster will be sent to each Vice President that details the make-up of their 1% pool. At the Vice President's discretion, each dean or director may receive an allocation for discretionary recommendations. The total recommendations from the dean or director may not exceed that allocation.

Part-time vs. full-time - There is no longer a separate pool for part-time employees. All eligible employees, full and part-time, will be awarded from the same pool.

Award Amounts - Discretionary salary awards for full-time employees shall be at least \$500, and not greater than \$2,500, and at least \$200 for part-timers. All awards will be paid on a one-time, lump sum basis.

Catch-up Pool

Due to the fact that the negotiated 2016 and 2017 retroactive raises are not available to be included in the June 30, 2018 pool salaries until they are paid in the check dated November 28th, SUNY and UUP have agreed that a "catch up pool" may be processed to address the impact of the retroactive raises on the June 30, 2018 salaries. Award recipients will receive an additional award on top of an award that Vice President's approve that will be determined as follows: an initial salary pool will be established based on current salaries as of 6/30/18 at this time. After negotiated base increases have been retroactively applied in November, the salary file will be re-run and a new "catch up" pool will be established based on the *difference* between the initial 6/30/18 pool and the updated 6/30/18 pool that includes negotiated increases. The "catch up" pool will be automatically distributed to the same discretionary award recipients as the initial pool using the same percentage of the pool they previously received as if those funds had been available at the time of the initial pool. Both are paid as lump sums and not added to base.

Performance Period - The performance period for academic employees is the 2017-18 academic year. The performance period for librarian and professional employees is from July 1, 2017, through June 30, 2018.

Eligibility - To be eligible to receive an award, an employee must be on the payroll on June 30, 2018, and at the time of payment. Additionally, part-time employees whose prior service ended between April 30, 2018, and June 30, 2018, who returned to the payroll are eligible for salary awards for work performed in 2017-18. Persons on paid leave, but continuing in UUP service in accordance with the terms of the contract, may also be considered for a discretionary award; **employees separated or on leave without pay are not eligible.**

Purpose - The discretionary review process is intended to recognize outstanding performance appropriate to the individual position, contributions that are clearly beyond the high level of performance expected of all members of the University professional staff. The evaluation should also be referenced to the multiple missions served by the University (i.e., research, teaching, and service) and the need to recognize extraordinary contributions in all these aspects of the institution (e.g., for faculty, not only research, but also outstanding teaching, student advisement, participation in General Education, honors, student recruitment, public engagement, and dedication to institutional and public service).

Procedure

- The procedure will normally begin at the level of the designated unit head (e.g., a department chair, director, or dean). In divisions with relatively few eligible employees, the vice president may develop a single divisional recommendation in consultation with unit heads. In large departments or units, the unit head may establish a committee to assist with preliminary screening of eligible staff or delegate to assistant directors the responsibility for making initial recommendations.
- Recommendations for eligible employees should be based on evidence of outstanding contribution during the performance period – e.g., professional evaluations, activity reports of professional activities, teaching evaluations and awards, professional honors, etc. Eligible employees may submit evidence or information to their unit head for consideration. Unit heads are strongly encouraged to communicate the process for formulating recommendations in the unit to eligible employees. This communication should describe the process for being considered and how performance will be evaluated.
- Except in divisions where the vice president chooses to develop a single divisional recommendation, each unit head shall submit a written recommendation to their supervisor (e.g., the dean or director). **The unit head shall also notify ALL eligible individuals in writing whether or not they are being recommended – everyone is to receive a letter by November 7 regarding initial recommendation (see schedule).**
 - For individuals being recommended, this notification shall NOT specify an award amount.
 - For individuals not being recommended, the letter must identify where to direct an appeal should the employee wish to appeal; the appeal should be addressed to an independent reviewer or committee (i.e., not to the person who made the recommendation not to provide an award). If an employee recommended by a chair will not be recommended by the dean, the dean shall be responsible for promptly notifying the employee and the chair.
- Unit heads and eligible professional staff who are appointed to a dean's or vice president's office, shall be considered for a discretionary salary award by the head of the office. Department chairs shall be considered by the applicable dean.
- Appeals - **Each vice president will decide where appeals will be considered for their division and communicate such in employee notifications.** In Academic Affairs, each dean shall establish a procedure for considering appeals. A statement of the appeal procedure and its outcomes must accompany the dean's recommendation to the Provost. The appeals procedure shall include provision for written notification to the employee of the outcome of the appeal. Any eligible employee not recommended by the unit head (or, where applicable, dean or vice president) may file an appeal. Unit heads must provide guidance about where to direct an appeal in the written notice to employees who are not being recommended. An eligible employee is permitted only one appeal, at the level of the recommendation appropriate for their primary appointment. Appeals from department chairs or professional staff members whose direct supervisor is a dean, as well as any employee recommended by a unit head but not recommended by the dean shall be considered by the vice president.
- Each vice president shall forward a final recommendation to Human Resources no later than what is outlined in the attached schedule. Human Resources will compile the campus award roster for review and approval by the President.
- Following the President's approval, final award rosters will be distributed to the appropriate vice president or dean who will notify in writing each individual receiving an award.
- The President's Office will intervene only in the extraordinary circumstance where evidence is presented of conduct inconsistent with law and/or the regulations of the SUNY Board of Trustees, including these Guidelines.

Timeline for Academic Affairs

Distribution of Guidelines and rosters	October 16	October 16
To:	All Schools, Colleges & <u>Libraries</u>	<u>Academic Administrative Units</u>
<u>Initial Recommendations</u> Completed rosters with recommendations submitted from unit heads/department chairs. <i>This phase should also include recommendations for dept. chairs/unit heads reporting to Deans/AVPs, dean's office employees and Provost office employees.</i>	<u>To Deans</u> 11/7/18(Wed)	<u>To Provost</u> 11/7/18(Wed)
<u>ALL</u> eligible employees receive written notification from unit heads (recommended yes/no)	11/7/18(Wed)	11/7/18(Wed)
Due date for individual appeals for eligible employees	11/14/2018(Wed)	11/14/2018(Wed)
<u>Intermediary Review Level</u> Completed rosters with recommendations submitted from Deans	<u>To Provost</u> 11/21/2018(Wed)	
Written notification to employees initially recommended but not receiving further recommendation	11/21/2018(Wed)	
Due date for individual appeals from eligible employees initially recommended but not receiving further recommendation	11/28/18(Wed)	
<u>Vice Presidents/Provost</u> Completed rosters to Human Resources for compilation and then review by President	11/30/2018(Fri)	11/21/2018(Wed)
Final roster approved by President; distribution of final roster to VPs by	12/5/18(Wed)	12/5/18(Wed)
Written notification to employees receiving awards by	12/7/2018(Fri)	12/7/2018(Fri)
Date initial awards will be reflected in paychecks	12/26/18	12/26/18
“Catch up” awards will be reflected in paychecks	1/23/19	1/23/19

Timeline for Divisions other than Academic Affairs

Distribution of Guidelines and rosters	October 16	October 16
<u>Initial Recommendations</u> Completed rosters with recommendations submitted from unit heads. <i>This phase should also include recommendations for AVPs/Directors reporting to VPs and President/VP office employees.</i>	AVP/Director intermediary <u>recommendation to VP</u> 11/7/18(Wed)	<u>Single VP level recommendation</u> 11/7/18(Wed)
<u>ALL</u> eligible employees receive written notification from unit heads (recommended yes/no)	11/7/18(Wed)	11/7/18(Wed)
Due date for individual appeals for eligible employees	11/14/2018(Wed)	11/14/2018(Wed)
<u>Intermediary Review Level</u> Completed rosters with recommendations submitted from AVP/Director	<u>To VP</u> 11/21/2018(Wed)	
Written notification to employees initially recommended but not receiving further recommendation	11/21/2018(Wed)	
Due date for individual appeals from eligible employees initially recommended but not receiving further recommendation	11/28/18(Wed)	
<u>Vice Presidents/Provost</u> Completed rosters to Human Resources for compilation and then review by President	11/30/2018(Fri)	11/21/2018(Wed)
Final roster approved by President; distribution of final roster to VPs by	12/5/2018(Wed)	12/5/2018(Wed)
Written notification to employees receiving awards by	12/7/2018(Fri)	12/7/20018(Fri)
Date awards will be reflected in paychecks “Catch up” awards will be reflected in paychecks	12/26/18 1/23/19	12/26/18 1/23/19

Revised: 10/16/2018