Supervisor Training Program

As a Supervisor at UWL, you become a resource for employees and an administrator who helps advance the mission of the organization.
A word of caution...

This session will provide you with a lot of information. The purpose of this program is to provide you a general overview of policies, procedures, and organizational risks associated with personnel management. Human Resources is here to help serve you and assist in the Human Resource Management of our organization.
Introductions

• Your name
• Your department
• Years at UWL
• Something fun about you!
Purpose of this Training Program

- **Assist**: Assist Supervisors with the basics of the policy framework of the UW
- **Equip**: Equip Supervisors with the resources to guide employees and know when to contact HR
- **Give**: Give resources and training to confidently supervise your people
- **Understand**: Understand payroll, leave management, and performance processes
- **Go**: Go over the budget/fiscal processes at UWL
- **Provide**: Provide 'soft skill' development in challenging situations
What we will cover

• Session 1 – UWL Personnel Management
• Session 2 – Payroll, Budgeting, and Financial Accountability
• Session 3 – The Employee Life Cycle
• Session 4 – Performance Management & Communication
• Session 5 – Faculty Personnel Management (for Chairs & Deans)
Today’s training

• Focus on the role of the manager
• Understanding risk in Human Resource Management
• Basic knowledge of the policy framework
• Tools you have which can help ensure expectations are met
Primer
The Role of Human Resources
The Role of HR...

• What is the role of the HR function?
The Role of HR...

Human resource management (HRM) is the process of managing an organization's employees. HRM includes all aspects of people management to effectively meet an organization's goals.

Society for Human Resources Management
Who manages employees? Supervisors, division leaders, and the organization’s leader.
The Human Resources Department

Human Resources professionals are advisors, coaches, referees.

Human Resources departments maintain and advise on internal controls related to employment matters.

Advise decision makers on risks associated with decisions.

Maintain documentation for personnel matters.

Custodian and processor of employment data.
Documentation

Personnel File
• Application materials
• Employment documents
• Payroll documents
• Final actions
• Performance evaluations

Other Documentation
• Investigations
• Management Notes
• Complaints
• Benefits documents
Questions?

Do you have any questions on the role of Human Resources?
One more thing...

Let’s discuss the concept of confidential and private information.

(2-Minutes)

With a learning partner, produce a definition for both then we will debrief.
Confidential vs. Private

Confidential
• Confidential information is something that is not shared, except to authorized individuals.

Private
• Private information is something that is shared, but disseminated to individuals who may have a ‘need to know’.
Part 1
The Role of the Supervisor
Supervision

(5-Minutes)

With a learning partner, discuss what are the key attributes for effective supervision.
Effective supervision

To be an effective supervisor, one must first be skilled in three areas:

- Administrative
- Educational
- Supportive
The Administrative component of supervision refers to one’s role to document, support, and maintain records on behalf of the organization. At the most basic level, this refers to a supervisor’s role of ensuring that work gets performed.
Educational

The Educational area refers to the supervisor’s need to develop, foster, and train their employees with the knowledge, skills, and attitudes to perform the work/tasks assigned to them.
Supportive

In this area, supervisors develop skills to enhance and/or increase job performance of their employees as well as reduce burnout and help with boosting morale.
Part 2
Introduction to Personnel Management at UWL
Let’s talk about risk…
What is risk?

(5-Minutes)

With a learning partner, discuss what risk is and how it applies to supervision of employees.
What is Risk?

Risk is defined as a probability or threat of damage, injury, loss, or any other negative occurrence that is caused by external or internal vulnerabilities.

In Human Resources, ‘risk’ is associated with human behavior or actions.

Supervisors must begin to think on a continuum of outcomes for a situation to evaluate the associated risks.
Why is risk so hard to talk about?

• We tend to be overconfident about the accuracy of our forecasts and risk assessments and far too narrow in our assessment of the range of outcomes that may occur.

• We also anchor our estimates to readily available evidence despite the known danger of making linear extrapolations from recent history to a highly uncertain and variable future.

• Organizational biases also inhibit our ability to discuss risk and failure. In particular, teams facing uncertain conditions often engage in group think: Once a course of action has gathered support within a group, those not yet on board tend to suppress their objections—however valid—and fall in line.

Practice

One of your employees, A, comes to you one day and lets you know that they have had an ongoing concern about some of the things their coworker B has been saying. A reports to you that B started to tell other coworkers that A cannot be trusted. It is reported that B has told others in the department that A left their last job because of a “bad-break up”.

You decide to approach B about the issue and B begins to state that you are harassing them for telling the truth and trying to save the university by reporting the issues of a bad hire and bad employee. B further believes that you are focusing your conversations at B because they are of a protected classification. They report that they will go to HR and report you if you do not do something about A’s behaviors as they are starting to affect the rest of the team.

What do you do? What are the risks of approaching employee A with this information?
For Discussion

What are the risks?

What are the rights of each employee?

How would you proceed?
Part 3
Organizational Structure and Decision Making at UW-La Crosse
Who is authorized to make decisions?
Granting of decision-making authority

• The State of Wisconsin grants authority to the Board of Regents
• The Board of Regents grants authority to President and Chancellors
• The Chancellor can delegate responsibilities on their behalf to Vice Chancellors or others at the institution
Why is this important?

Understanding where decisions are made who has the statutory authority can ensure that final actions on employment decisions are not overturned on a policy technicality.
Who makes decisions at UWL on personnel matters?

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<tr>
<th></th>
<th>Chancellor</th>
<th>Vice Chancellor</th>
<th>Dean</th>
<th>Director</th>
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</table>
In the next section, we will explore the foundations as to where these authorities are codified.
The policy onion
University of Wisconsin System
General Policy Framework

Federal Legislation and Administrative Rules

WI State Statutes and Administrative Code

Board of Regents Policy Documents

UW System Administrative Policies and Procedures*

UW System Institutional Policies, Procedures, and Handbooks

UW System Institution Guidance and FAQs

*Includes University Personnel System Policies. The University Personnel System (UPS) Operational Policies apply to all UW Institutions other than UW-Madison, which are governed by the UW-Madison HR Design Policies.
Policy Framework

- **Wisconsin Administrative Code:** These rules were promulgated in accordance with the rulemaking authority vested in the Board of Regents by Chapter 36 of the Wisconsin Statutes. The rules govern areas such as the use of university facilities, conduct, and dismissal of personnel.

- **Board of Regents Policies:** Regent Policy Documents have been adopted pursuant to the policy-making authority vested in the Board by Chapter 36 of the Wisconsin Statutes. The Regent Policies address, but are not limited to academic policies and programs, equal opportunity, tuition and fees, housing, activities of faculty members, student activities, and trust and investment policies.

- **UW System Administrative Policy:** UW System Administrative Policies and Procedures (SYS) are applicable systemwide and cover academic, financial, and general administration issues. The University Personnel System Operational Policies, integrated as the SYS 1200 series, provide the framework for UW institutions, other than UW-Madison, to extend the UW Board of Regents’ authority to the university workforce. The SYS policies and procedures provide specific direction to UW System institutions and are central to the governance of the UW System. They are issued and approved by the UW System President.
Navigating Policies

Do not navigate the policies alone. There are many and Human Resources can help guide you to the right policy.
The policy search...

1. Start with UWL Policies, (the knowledge base or a UWL search)
2. Expand to UW System Administrative Policies
3. Expand to UW Regents Policies
4. Expand to State/Federal regulations if alleged violation relates to program
Begin by searching for key words or phrases that might exist in the type of policy you are seeking clarification.

Many UWL Departments (Administrative & Finance specifically) are migrating their policies to the Knowledge Base (KB).

In addition to the previous searches, understanding if any additional requirements or policies exist on the topic should be researched at the UWSA Level.
Polices and UWL

• UW System policies set a standard and inform the campuses as to how their own policies may be created. Some UW System policies need not result in the campus creating their own policy.

• UW System Administrative Policies respond to the State/Regent policies by setting a framework and **basic level of expectations for performance** in several key areas.

• A note on University Staff employees... [https://kb.uwlax.edu/103707](https://kb.uwlax.edu/103707)
Who sets expectations?

Ultimately as the supervisor, you set “expectations” for work performance, employee conduct, and behavior. So long as reasonable expectations are set, you are supported with these policies:

• UW System Administrative Policy 1292: Workforce Conduct & Expectations
• Supervisor/Division expectations

An example of an expectation may be addressing callers or visitors in the office, attire, or additional language in an employee’s email signature.
UWS (Statutes and Administrative Code) and Employment

UWS sets the framework for how the universities respond to alleged or potential violations of policy.

As a state agency, employees are afforded due process – just like you would see in a civil or criminal matter. Accused employees are guaranteed full access to information, witnesses, and other documentation of the alleged incidents related to potential policy violations.
Responding to policy violations (generally)...
The response

1. Supervisor informed of alleged violation (conduct, performance, or behavior)
2. Supervisor and Director determine with information provided if they are substantial.
3. Consult with Human Resources to determine correct/appropriate path
4. Responsible UWLOffice investigates and provides findings to referring decision maker.
The investigation

The investigative process is an important part of the corrective action process. It provides due process for the employee and all parties. It can take as much as 90 days to complete an investigation and in some severe cases, the employee may be removed from their duties and placed on leave.

https://www.uwlax.edu/human-resources/investigation/
Part 5
Policy Enforcement / Employee Performance & Behavior
Reviewing the Investigative Findings

• Findings (and no conclusions – unless it is a AAO/EEO policy review) will be presented to the deciding official.

• Here is where consultation with UWL HR and UW System Legal is important. They help decision makers assess the risks/impact of the violations and help determine the level of sanction.
If sanctions are needed

• Depends on employment classification, but less severe sanctions may be imposed administratively. Examples of less severe sanctions:
  • Re-training / Additional training
  • Coaching or other developmental activities
  • Performance Improvement Plans
  • Withholding of merit pay (pay plan or lump payments)
  • Letters of counseling (i.e., documentation for the p-file)
Severe sanctions may require a hearing

- Severe sanctions such as suspension, demotion, or termination for cause may require a hearing.
- Faculty and Academic Staff classifications may require additional steps and require a hearing for severe sanctions.

Review Chapters 4, 6, 11, 13
## Tools in the Toolbox (FA, LI, AS)

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<th>Requires Hearing</th>
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<th>Chancellor</th>
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Part 6
Policy Framework: Appointments & Reappointments
### Types of Employment Classifications

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<td>Students</td>
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Faculty Classification

- Faculty Appointments
- Probationary Faculty Appointments
- Terminal Contracts
- Tenure & Tenure Dismissal
Academic Staff (NIAS & IAS)

- Fixed Term Terminal
- Probationary Appointment
- After One Year
- After Seven Years
- Fixed Term Renewable

(5-Minutes)
With a learning partner, discuss: what is the difference between the types of appointments?
University Staff

• Ongoing Employment

University Staff Appointment

Date: February 25, 2023

To: NAME
This document was created by: emajors@uwla.edu

Below are the details of your appointment at the University of Wisconsin-La Crosse. Please review this information. Contact Human Resources at 608/785-8000 for questions or assistance. If there are changes made to your appointment, you will receive an updated appointment document with changes indicated in blue print. Changes in appointment status may affect benefits eligibility.

Applicant Information

<table>
<thead>
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<th>Title/Job Title</th>
<th>Work Title</th>
<th>Chair/Supervisor</th>
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<td>[Hours/Weekly]</td>
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Appointment Details

• General position responsibilities: The duties and responsibilities will be reviewed with you by your supervisor.
• Notice: You are required to participate in a review of performance.
• University Staff Evaluations: Each:
  - This position requires you to serve a probationary period.
  - During your probationary period your performance will be evaluated. Your supervisor will share the results of this evaluation with you.
  - Your probation ends on [Date].

End Date

University Staff Temporary or Project Based Appointment

Date: February 25, 2023

To: NAME
This document was created by: emajors@uwla.edu

Below are the details of your appointment at the University of Wisconsin-La Crosse. Please review this information. Contact Human Resources at 608/785-8000 for questions or assistance. If there are changes made to your appointment, you will receive an updated appointment document with changes indicated in blue print. Changes in appointment status may affect benefits eligibility.

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Appointment Details

• General position responsibilities: The duties and responsibilities, as outlined in this position description, will be reviewed with you by your supervisor.
• Notice: You are required to participate in a review of performance.
• University Staff Evaluations: Each:
  - This position requires you to serve a probationary period.
  - During your probationary period your performance will be evaluated. Your supervisor will share the results of this evaluation with you.
  - Your probation ends on [Date].

End Date
All Other Categories

- At-will
Human Resource Partners

Academic Affairs

Anna Mayer
HR Business Partner
144H Graff Main Hall
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608.785.8629

All other Divisions

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Specialty areas:
HR Business Partner for Non-Academic Departments: Administration & Finance, Diversity & Inclusion, Student Affairs, and University Advancement.
Tell us how we did.
Questions?