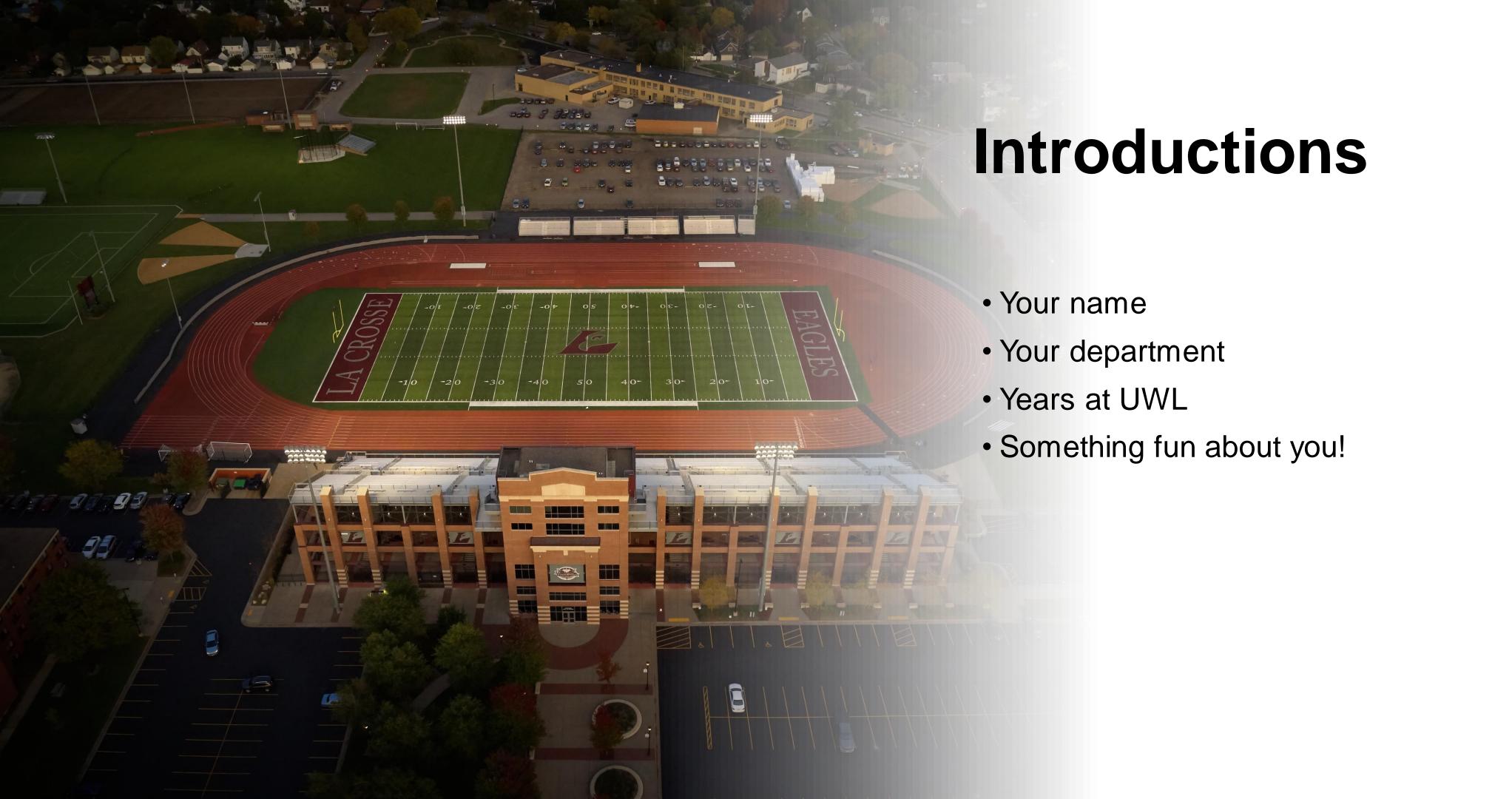
Supervisor Training Program

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.







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





The Role of Human Resources



The Role of HR...

What is the role of the HR function?



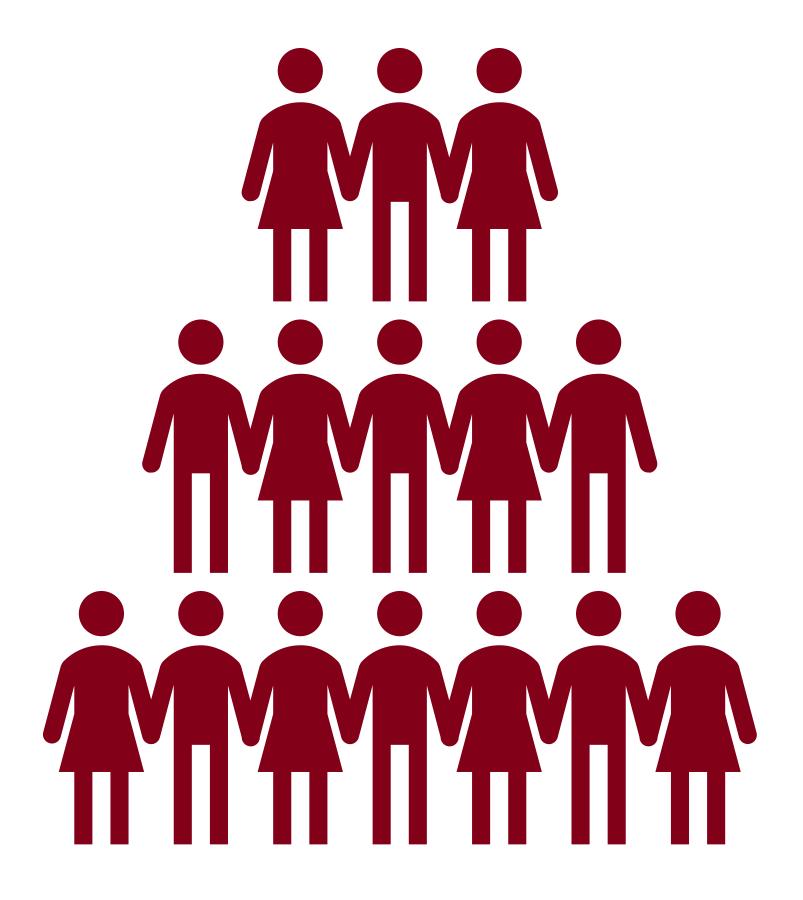
The Role of HR...

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



PROFESSIONALS ARE ADVISORS,

COACHES, REFEREES.

HUMAN RESOURCES



HUMAN RESOURCES
DEPARTMENTS MAINTAIN AND
ADVISE ON INTERNAL CONTROLS
RELATED TO EMPLOYMENT
MATTERS.



ADVISE DECISION MAKERS ON RISKS ASSOCIATED WITH DECISIONS.

THE PARTY OF THE P



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





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'.



The Role of the Supervisor



Supervision



(5-Minutes)

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



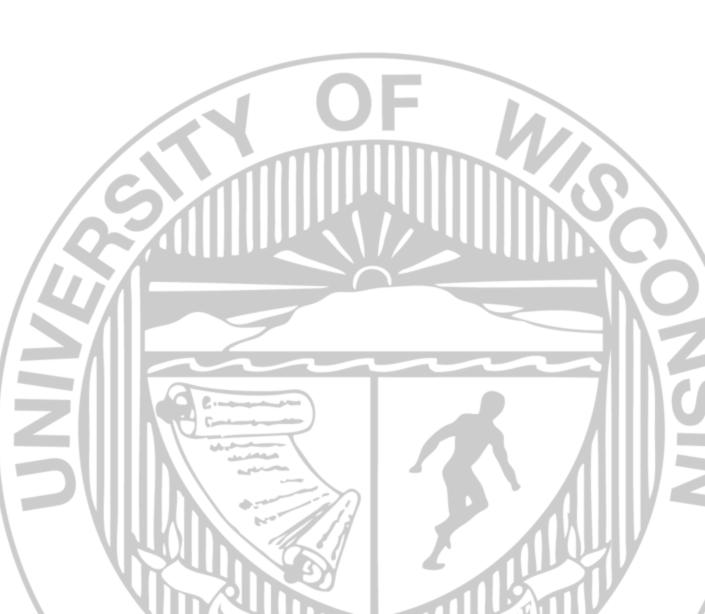
Effective supervision

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

Administrative

Educational

Supportive





Administrative

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.



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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.





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 applicate

it applies to supervision of employees.



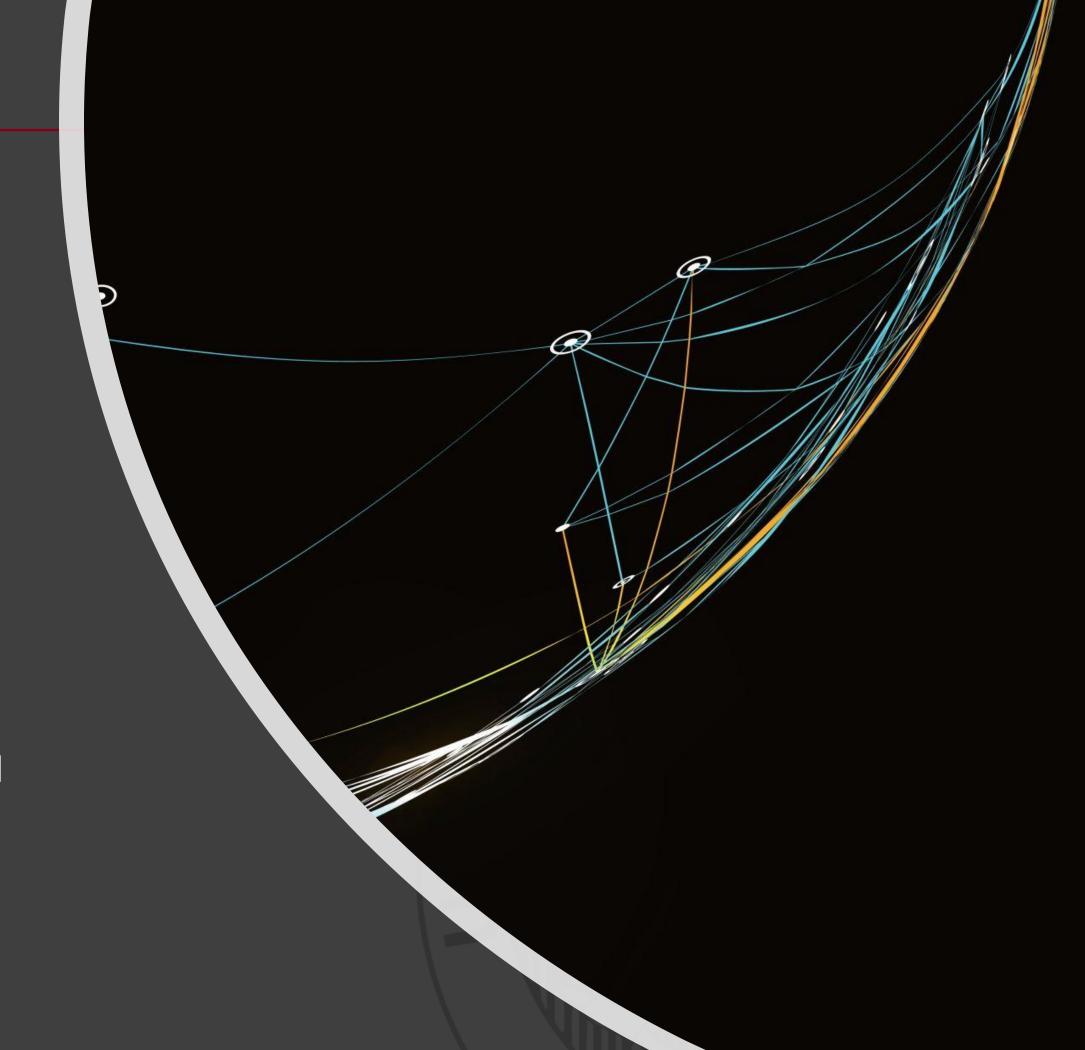


What is Risk?

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.

Managing Risks: A New Framework: chromeextension://efaidnbmnnnibpcajpcglclefindmkaj/https://www.nsf.gov/oirm/boc omm/meetings/spring_2018/Managing_Risks_A_New_Framework.pdf



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?

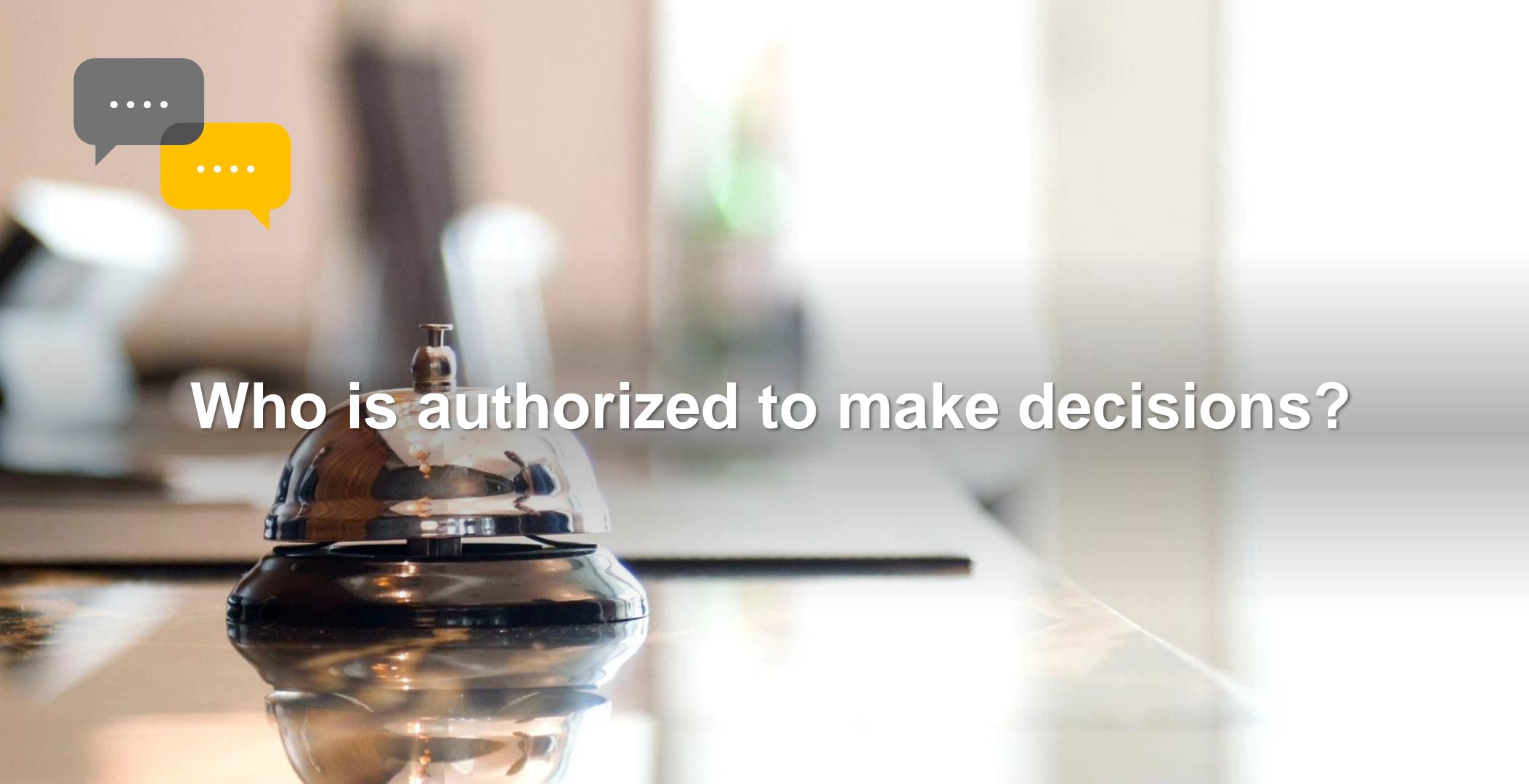


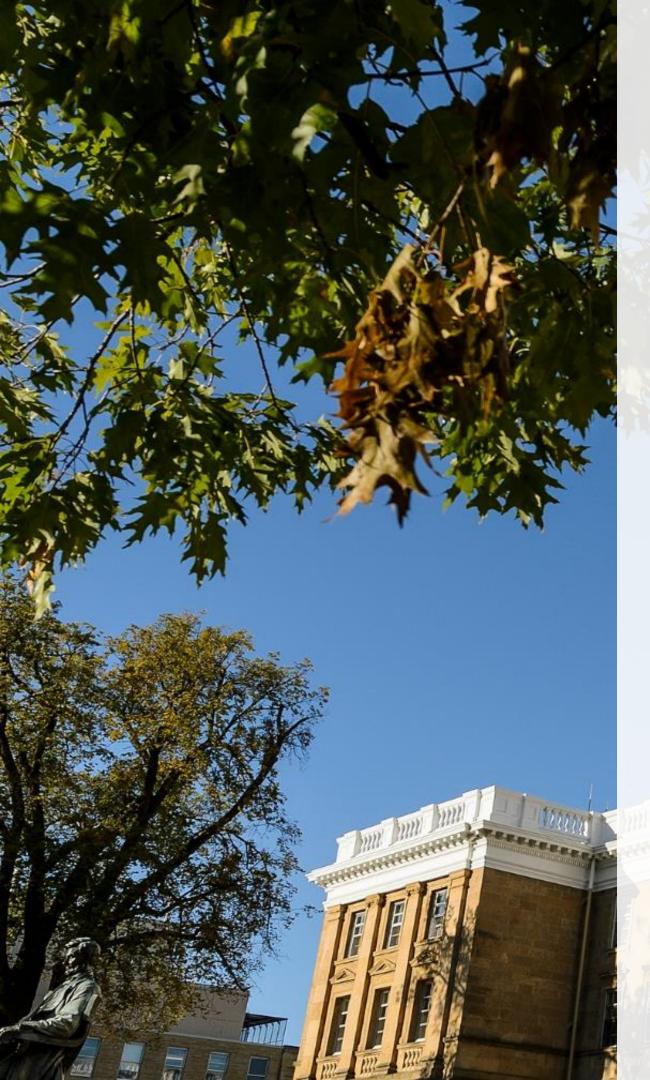
How would you proceed?



Part 3

Organizational Structure and Decision Making at UW-La Crosse





Granting of decisionmaking 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?

	Chancellor	Vice Chancellor	Dean	Director	Supervisor
Faculty	X				
Academic Staff	X			X	
Instructional Academic Staff			X		
Limited	X	X			
University Staff					X
All Others					X

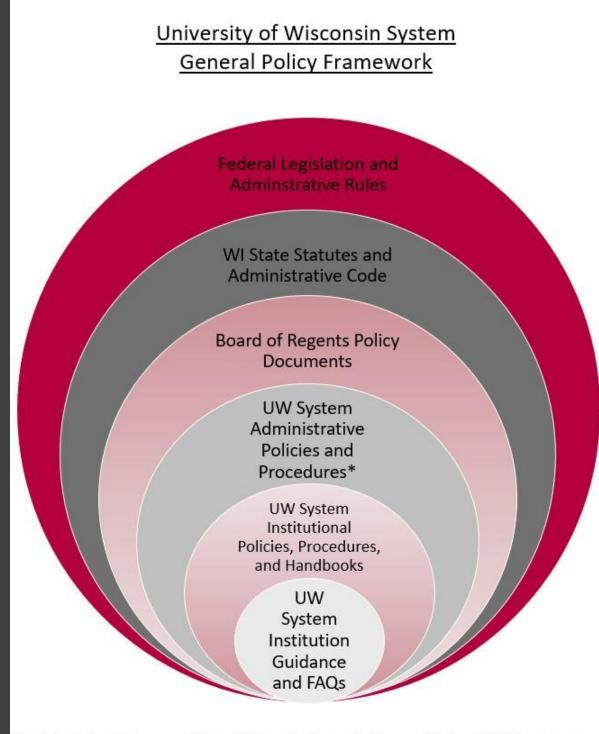




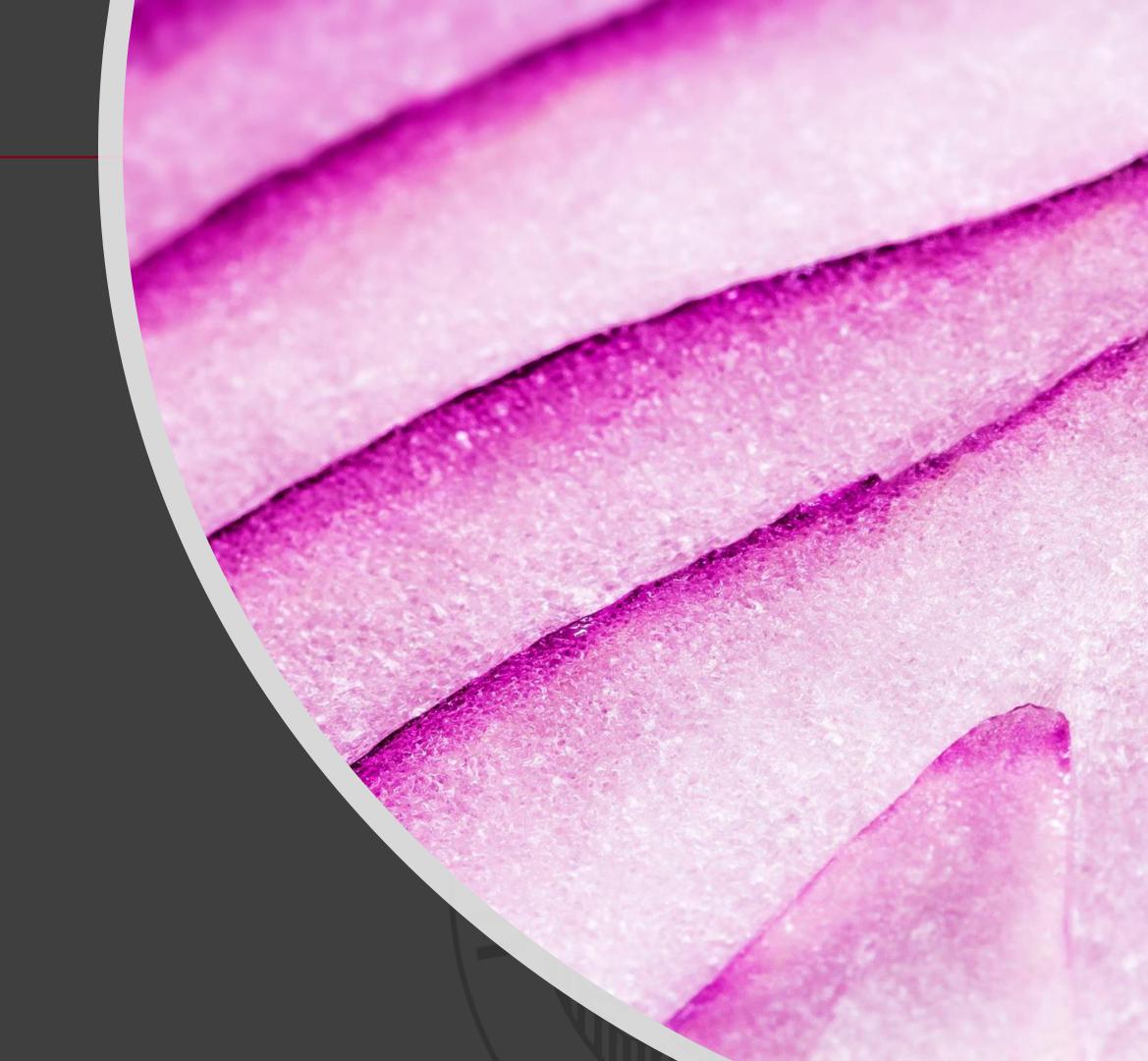
UW-System Policy Framework



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*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

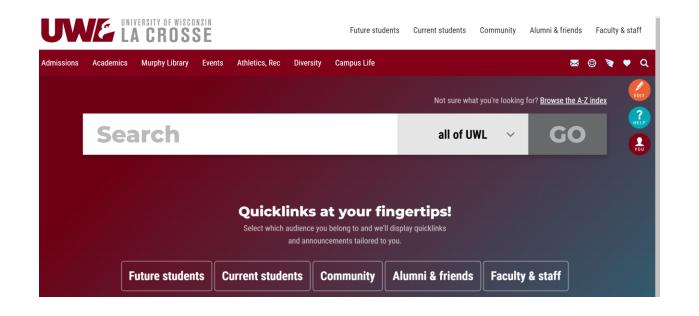
Expand to UW Regents Policies

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)



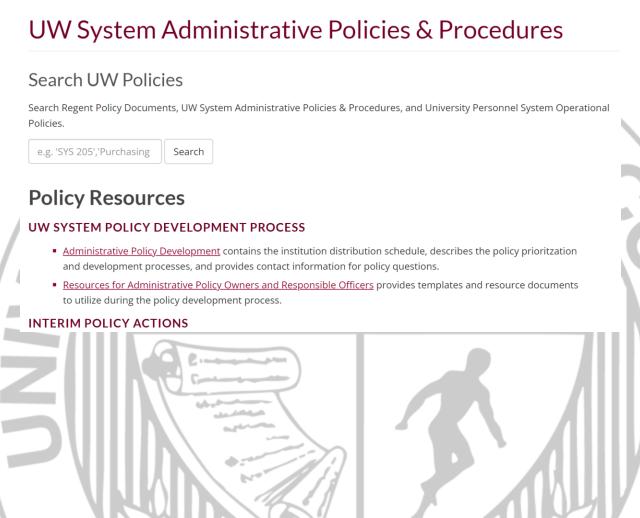
KnowledgeBase

NEWS AND ANNOUNCEMENTS

Welcome Mar 23, 2020, 7:31 AM CST

Use this KB to find how-to articles for UWL-supported technologies and teaching tools. Just enter keywords in the search box to find helpful info. Tip: When you search the UWL website at www.uwlax.edu, you will see search results from the KB as well.

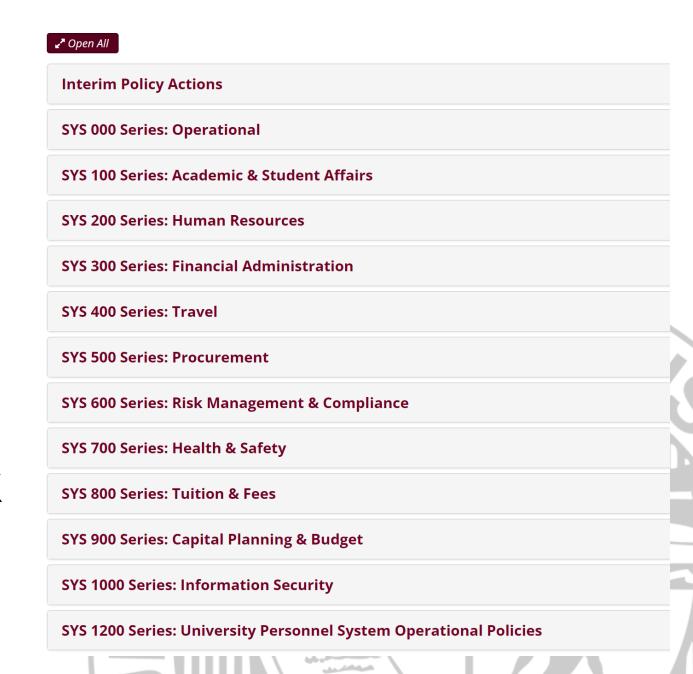
In addition to the previous searches, understanding if any additional requirements or policies exist on the topic should be researched at the UWSA Level.

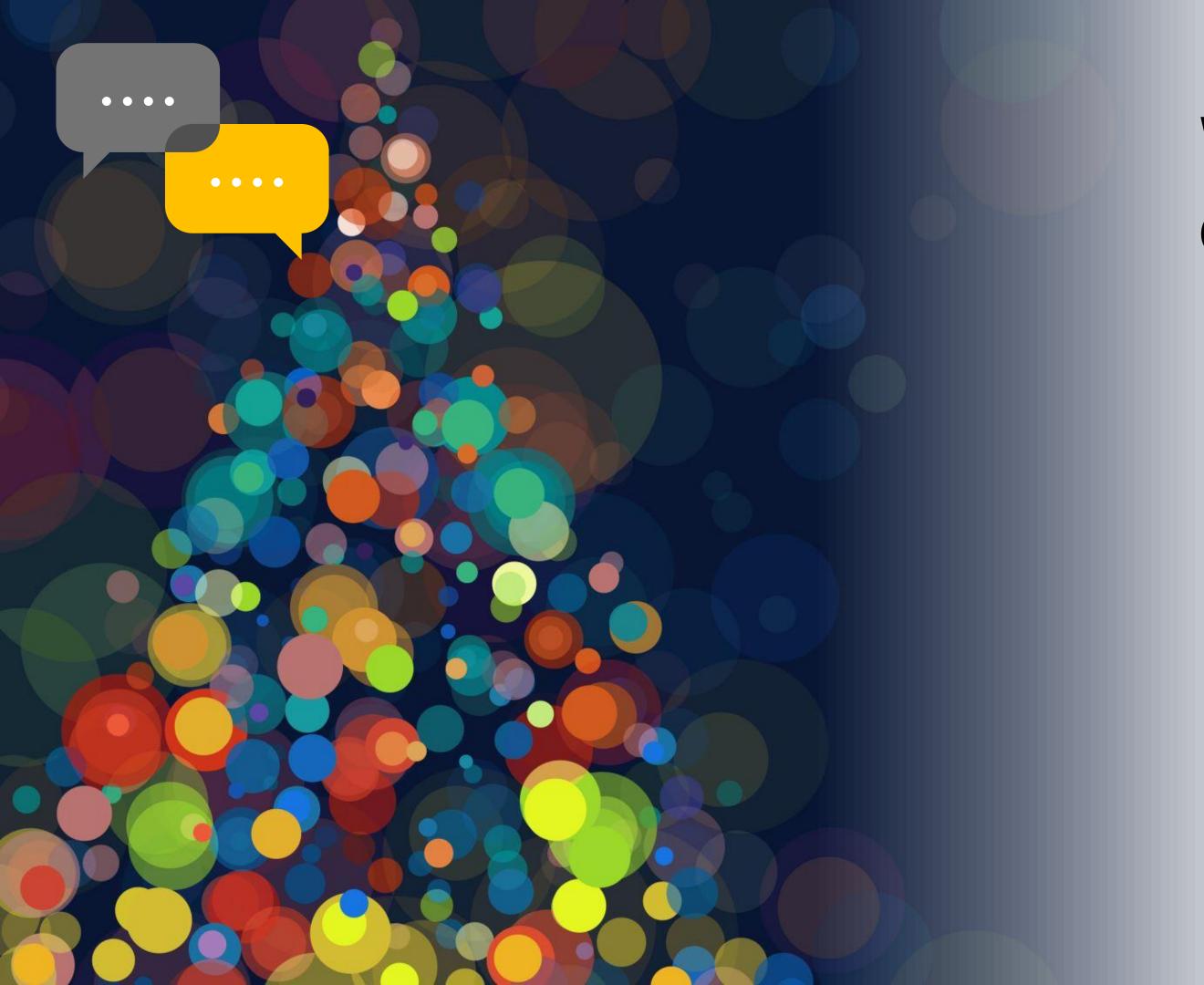




Polices and UWL

- 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





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.

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UWS (Statues 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



Supervisor informed of alleged violation (conduct, performance, or behavior)



Supervisor and Director determine with information provided if they are substantial.



Consult with Human Resources to determine correct/appropriate path



Responsible UWL Office investigates and provides findings to referring decision maker.

Com

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/humanresources/investigation/

Murphy Library Campus Life Athletics, Rec **Diversity Events**

HOME > ADMINISTRATION & FINANCE > HUMAN RESOURCES

Investigative Process

On occasion, Human Resources is asked by supervisors or the Chancellor to investigate matters to determine if policy violations occurred by an employee or employees.

This webpage provides information, resources, and details on how employees can generally expect the investigative process to unfold when being led by Human Resources. This includes any investigations which may be required as part of <u>UWL's Policy on Against Harassment</u>, <u>Discrimination</u>, <u>Sexual Misconduct</u>, and <u>Retaliation</u>.

It is important to note that the investigative process is dictated by the circumstances of the complaint and may not follow the specific or ideal path outlined below. In addition, the general timeframe for completion of an investigation can vary based on the complaint and the unfolding complexity involved.

All investigations are processed by two trained investigators and an acting administrator who is responsible for overseeing the investigative process and communicating with all parties involved.



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 UWLHR 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)

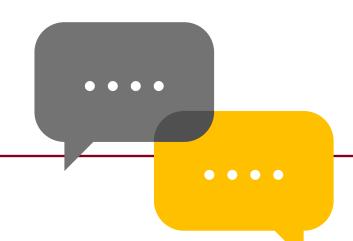


Severe sanctions may require a hearing

- 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)

	Can be imposed	Requires Hearing	Supervisor / Cmte.	Chancellor
Letter of Counseling	X		FA, LI, AS	FA, LI, AS
Performance Improvement Plan	X		FA, LI, AS	FA, LI, AS
Retraining/Coaching	X		FA, LI, AS	FA, LI, AS
Withholding Merit Pay	X		FA, LI, AS	FA, LI, AS
Suspension		X	AS	FA, LI, AS
Demotion		X	AS	FA, LI, AS
Termination		X	AS	FA, LI, AS



Policy Framework: Appointments & Reappointments



Types of Employment Classifications

Academic Staff

Employee-in-Training

Faculty

Limited Appointee

Students

University Staff



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

Employee Id: ID NUMBER OR NEW

This document was emailed to: email@uwlax.edu /

Below are the details of your appointment at the University of Wisconsin-La Crosse. Please review this information. Contact Human Resources at (608)78: 8013 with questions on your appointment. If there are changes made to your appointment, you will receive an updated appointment document with the changes indicated in bold print. Changes in appointment percent may affect benefit eligibility.

Appointment Information			
Title (Title Code):	Working Title:	Chair/Supervisor:	
Police Officer (CP039)	Police Officer	Nicole Miller	
Department/Unit:	College/School:	Division:	
Police Services	N/A	Administration & Finance	
Start Date:	End Date:	Appointment length:	
November 15, 2021	Ongoing	Ongoing Appointment	
Anticipated Hours per week:	Pay Basis:	Appointment Type:	
40	Hourly (H)	University Staff - Ongoing	
Full-Time Base (FTB) Rate:	Anticipated Actual:	•	
\$24.97 / hour	\$24.97 / hour		

Non-Exempt Employee: A non-exempt position is entitled to overtime/compensatory time, for hours worked over 40 per workweek. Overtime is subject to the UW-La Crosse Overtime and Compensatory Leave policy: https://kb.uwlax.edu/internal/103690

ppointment Details

- General position responsibilities: The duties and responsibilities will be reviewed with you by your chair/supervisor.
- Review: You are required to participate in a review of performance.
- University Staff Probationary Period:
- This position requires you to serve a probationary period.
- O During your probationary period your performance will be evaluated. Your supervisor will share the results of the evaluation with you.
- O Your probation end date is: November 15, 2022.

Employment Contingencie

This offer is contingent upon the completion of the Employment Eligibility Verification Form I-9. Federal law prohibits the University from employing an individual who has not provided I-9 documentation for verification **by the first day** of employment. This offer is also contingent upon acceptable results of a criminal background check. The offer will be withdrawn or terminated if either of these contingences are not satisfied.

Appointment Details Regarding Employment Policies: All employees are subject to certain sets of policies. For information on all employment policies o practices, visit the <u>HR Police and Compliance Center</u> and the <u>UW System Policy Page</u>. Employees should also review the <u>Employee Handbook</u>.

Please review and respond to this offer of employment within five (5) days of receipt.



Human Resources 144 Graff Main Hall 1725 State Street La Crosse, WI 54601 608.785.8013 hrinfo@uwlax.edu

University Staff Temporary or Project Based Appointment

Date: February 25, 2023

To: NAM

Employee Id: ID NUMBER or NEW
This document was emailed to: email@uwlax.edu

Below are the details of your appointment at the University of Wisconsin-La Crosse. Please review this information. Contact Human Resources at (608)785-8013 with questions on yo appointment. If there are changes made to your appointment, you will receive an updated appointment document with the changes indicated in bold print. Changes in appointment perce may affect benefit eligibility.

Appointment Information			
Title (Title Code): Spec Act Helper-LTE (TE011)	Working Title: Library Assist Archives	Chair/Supervisor: Laura Godden	
Department/Unit: Murphy Library	College/School: N/A	Division: Academic Affairs	
Start Date: May 23, 2022	End Date: August 28, 2022	Appointment length: Approximately three months	
Anticipated Hours per week: Varies, set by supervisor	Pay Basis: Hourly (H)	Appointment Type: University Staff - Temporary	

\$14.00 / hour

Non-Exempt Employee: A non-exempt position is entitled to overtime/compensatory time, for hours worked over 40 per workweek. Overtime is subject to the UW-La Crosse Overtime and Compensatory Leave policy: https://kb.uwlax.edu/internal/103690

Appointment Details

- General position responsibilities: The duties and responsibilities, as outlined in the position description, will be reviewed with you by your chair/supervisor.
 Review: You are required to participate in a review of performance.
- If this is a Temporary appointment:
- If this is a Temporary appointment
- The need for this position/duty is temporary in nature.
- o The UW System Administrative Policy 1256 states temporary employees are limited to working 1044 hours within 12 months from the start date of the position
- o Temporary employees are 'at will'. The appointment may be terminated without notice, for any reason.
- As a temporary employee, you are subject to the Wisconsin Retirement System (WRS) eligibility requirements in Wis. Stat. 40.02(26) and 40.22 and in Chap. 3 of the WRS administrative manual.
- If this is a Project Based appointment
- The need for this position/duty is temporary in nature.

 Design Design
- o Project Based employees are 'at will'. The appointment may be terminated without notice, for any reason.
- o As a Project Based employee, you are subject to the Wisconsin Retirement System (WRS) eligibility requirements in Wis. Stat. 40.02(26) and 40.22 and in Chap. 3 of the WRS administrative manual.
- This position is not eligible for any pay increases or career progression/promotion.
- Appointment Contingency: Temporary or Project based employees are subject to the provisions of funding related to their position. While the university expects to fulfill the
 terms of this appointment, this position is directly tied to external funding and is contingent on continued funding and availability of work for the duration of your
 appointment. Funding or working condition changes can occur at any time. This position may be eliminated, modified, or the percentage of appointments reduced, because
 of these changes.
- Temporary or Project Based employees are typically not eligible for benefits upon hire. Human Resources will review this appointment and notify you of your benefits eligibility. Additional information can be found in UW System Administrative Policy 1256: https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/university-staff-temporary-project-appointments/

Employment Contingen

offer in continuant upon the completion of the Employment Elizibility Verification Form J.O. Endoral Journability that University from complexing an individual who has



All Other Categories

At-will



Limited Appointment

Date: February 25, 2023

NAME

Employee Id: ID NUMBER OR NEW This document was emailed to: email@uwlax.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 8013 with questions on your appointment. If there are changes made to your appointment, you will receive an updated appointment document with the changes indicated in bold print. Changes in appointment percent may affect benefit eligibility.

Appointment Information				
Title (Title Code):	Working Title:	Chair/Supervisor:		
Chief Information Officer (Inst) (B) (IT183)	Assoc. Vice Chancellor for Info. Tech. & CIO	Robert J. Hetzel, Ph.D.		
Department/Unit:	College/School:	Division:		
Information Technology Services	N/A	Administration & Finance		
Start Date:	End Date:			
January 17, 2022	Limited (See Appointment Details)			
Appointment Percent:	Pay Basis: Appointment Type:			
100%	Annual (A)	Limited Appointment		
Full-Time Base (FTB) Rate:	Anticipated Actual:			
\$XXXX	\$XXXX (estimated in first fiscal year, through June 30, 2022)			

- General position responsibilities: The duties and responsibilities will be reviewed with you by your chair/supervisor.
- Review: You are required to participate in a review of performance.
- Limited Appointment: This is limited appointment, subject to the provisions of Wisconsin State Statutes Section 36.17, UWS Administrative Code Chapter 15, and University of Wisconsin System Administrative Policies. As the Associate Vice Chancellor for Information Technology & CIO, you are directly involved in the formulation, interpretation, and monitoring of policies and major program directions on behalf of the Vice Chancellor for Administration & Finance. You serve at the pleasure of the Vice Chancellor for Administration & Finance who is the appointing

Employment Contingencies

This offer is contingent upon the completion of the Employment Eligibility Verification Form I-9. Federal law prohibits the University from employing an individual who has not provided I-9 documentation for verification by the first day of employment. This offer is also contingent upon acceptable results of a criminal background check. The offer will be withdrawn or terminated if either of these contingences are not satisfied.

Appointment Details Regarding Employment Policies: All employees are subject to certain sets of policies. For information on all employment policies or practices, visit the HR Police and Compliance Center and the UW System Policy Page. Employees should also review the Employee Handbook.

Please review and respond to this offer of employment within five (5) days of receipt



Student Assistant Appointment

Employee Id: ID NUMBER OR NEW This document was emailed to: email@uwlax.edu

Below are the details of your Graduate Assistantship appointment at the University of Wisconsin-La Crosse. Please review this information. Contact Huma Resources at (608)785-8013 with questions on your appointment. If there are changes made to your appointment, you will receive an updated appointment document with the changes indicated in bold print. Changes in appointment percent may affect benefit eligibility.

Appointment Information				
Title (Title Code):	Working Title:	Chair/Supervisor:		
Graduate Assistant (SA023)	Graduate Assistant	Carla Burkhardtt		
Department/Unit:	College/School:	Division:		
College of Science & Health	College of Science & Health	Academic Affairs		
Start Date:	End Date:	Appointment length:		
August 29, 2022	May 28, 2023	One Academic Year		
Appointment Percent:	Hours Per Week:	Pay Basis:		
50%	20	Academic (C)		
Appointment Type:	Full-Time Base (FTB) Rate:	Anticipated Actual:		
Student Assistant – Temporary or Project	\$23,495.00	\$11,747.50		

- Satisfactory performance of your assistantship duties
- Maintenance of Good Academic Standing, per university academic policies Adherence to other University academic polices.
- This position is not eligible for any pay increases or career progression/promotion.
- Appointment Contingency: Temporary or Project based Academic Staff employees are subject to the provisions of funding and assignment of available work activities related to their position. While the university expects to fulfill the terms of this appointment, this position is directly tied to external funding, or the availability of work, and is contingent on continued funding and availability of work for the duration of your appointment. Funding or working condition changes can occur at any time. This position may be eliminated, modified, or the percentage of appointments reduced, because of these changes.
- Temporary employees are 'at will'. The appointment may be terminated without notice, for any reason. As a temporary employee, you are subject to the Wiscons Retirement System (WRS) eligibility requirements in Wis. Stat. 40.02(26) and 40.22 and in Chap. 3 of the WRS administrative manual
- Temporary or Project Based employees are typically not eligible for benefits upon hire. Human Resources will review this appointment and notify you of your benefits eligibility. Additional information can be found in UW System Administrative Policy 1256: https://www.wisconsin.edu/uw-policies/uw-systemadministrative-policies/university-staff-temporary-project-appointments/

This offer is contingent upon the completion of the Employment Eligibility Verification Form I-9. Federal law prohibits the University from employing an individual who has not provided I-9 documentation for verification by the first day of employment. This offer is also contingent upon acceptable results of a criminal background check. The offer will be withdrawn or terminated if either of these contingences are not satisfied.



HR Ongoing Support



Human Resource Partners

Academic Affairs



Anna Mayer

Profile
HR Business Partner
144H Graff Main Hall
amayer@uwlax.edu
608.785.8629

All other Divisions



Carri O'Melia

Profile
HR Business Partner
144 Graff Main Hall
comelia@uwlax.edu
608.785.6495

Specialty areas:

HR Business Partner for Non-Academic Departments: Administration & Finance, Diversity & Inclusion, Student Affairs, and University Advancement.



Tell us how we did.





