Human Resources Information Series for Supervisors

The Human Resources Information Series for Supervisors is a guide and reference manual designed to assist you in your role as a Supervisor. Each section offers advice and suggestions to improve your effectiveness and the effectiveness of your department or work unit. The manual is broken down into six topics. They are:

MANAGING AND RESOLVING CONFLICT
SELECTING EMPLOYEES
ORIENTATION FOR NEW EMPLOYEES
IMPROVING PERFORMANCE USING CORRECTIVE ACTION
PERFORMANCE MANAGEMENT
CLASSIFYING AND GRADING HOURLY POSITIONS

Please review the manual and make it a part of your management library. Human Resources is also making it available on its web site. Over time, other topics may be added. These additions will first be made available on the electronic version of this manual.

The Human Resources Information Series for Supervisors is not intended to be the only solution to the many challenges you may face. Human Resources should be consulted when more serious situations arise which may require a more thorough review.

Managing and Resolving Conflict

HUMAN RESOURCES INFORMATION SERIES FOR SUPERVISORS

I. Overview

Conflict is an inevitable result of social interaction. Conflict exists in organizations because, by their very nature, organizations require social interaction between people with different goals, values, and backgrounds. Recent structural, economic, and philosophical changes in the world of work have escalated the likelihood and level of conflict within workplace organizations.

Distinctions must be made, though, between positive and negative aspects of conflict in the workplace. If constructively managed, conflict may lead to clearer ideas and increased organizational effectiveness. If unchecked, however, conflict may become unduly disruptive. This guide is designed to provide information necessary to help supervisors effectively manage and resolve conflicts. This guide also provides an overview of the formal grievance procedure.

II. Supervisor and Employee Rights

Supervisor: has a right to effectively manage a work unit or program. The supervisor also has a right to require employees to use available processes and procedures to express concerns and complaints.

Employees: have a right to express concerns and complaints using available processes and procedures. If concerns and disputes cannot be resolved informally, employees have the right to file a formal complaint, free of any act or threat of retaliation.

III. Factors Leading to Conflict

Effective conflict management exists when the source of conflict is understood. Following are some common factors that contribute to workplace conflict.

! **Organizational Factors**

Organizational change:
Employees unsure about their role in an evolving organization may experience stress which, in turn, may produce conflict.

Diverse employee groups:
Several studies have documented that conflict is greater in organizations whose members differ in terms of gender, ethnicity, and economic status.

Strategic/operational disagreement:
Conflict may occur when there is disagreement regarding an organization's mission or direction, or the objectives and strategies employed to accomplish that mission. Conflict may also arise when there is disagreement about the most appropriate processes for accomplishing work.

Competition between units/groups:
Conflict may arise when different parts of an organization compete against each other for resources, status, etc.

Unreasonable workloads/standards:
If the people in an organization are expected to do more than is reasonably possible, frustrations can build and conflict can increase.

! **Interpersonal Factors**

Lack of common understanding:
Conflict may occur when two or more individuals differ in their perception of an issue or situation.

Goal conflict:
When employees and/or supervisors desire different outcomes, conflict is a natural result.

Poor communication skills:
Conflict is common when one person doesn't feel listened to or understood by another.

Unclear/unfair expectations:
Conflict may arise if supervisors or employees do not clearly communicate what they need from others or if what they need from others is unreasonable.

Power-plays and manipulation:
If a person bullies others with position authority or situational power, or if a person tries to manipulate others to get something desired, conflict is likely.

IV. Conflict Management Strategies

The following are strategies to prevent or reduce disruptive workplace conflict:

! **Organizational Strategies**

Reduce role ambiguity:
Role ambiguity refers to a lack of clarity about an employees assignments, how those assignments relate to the assignments of others, or how all employee assignments relate to the goals of the organization.

Provide support for assignment completion:
As assignments grow more complex and less routine, the potential for conflict increases because employees are less certain about how to approach new assignments. Supervisors should provide clear expectations on what successful performance looks like as well as make it possible for employees to discuss the processes and tools necessary for successful assignment completion.

Eliminate work overloads and underloads:
Work flows should be coordinated to ensure that employees are challenged without being overwhelmed. Employees who are not challenged can get bored and invest their energy in unproductive activities, while employees who are overwhelmed can get frustrated. Both conditions can cause disruptive conflict.

Improve access to information:
Poor communication is a major cause of conflict. When employees are hungry for information and that information is not provided, they will often create it. The resultant rumors are likely to lead to the creation or escalation of organized conflict.

Involve employees in organizational change and decisions:
People tend to change when they have participated in decisions leading to change. People tend to resist change to the extent they feel change is imposed on them.

! **Interpersonal Strategies**

Try to understand different work styles and perspectives of others:
Because people come into the workplace with different backgrounds and personalities, effective conflict management requires employees and supervisors to be aware of how the people they work with tend to react in certain situations. There are numerous inventories (e.g. Myers-Briggs) and other tools that may help coworkers understand and appreciate the work styles of others.

Develop interpersonal skills related to conflict management:
Assertiveness, communication, and negotiation skills training may provide employees and supervisors the techniques and confidence they need to resolve conflict quickly, effectively and independently.

Develop skills for conflict management in groups:
Making decisions, solving problems, and evaluating performance requires different skills and processes in a group or team setting.

Eliminate win-lose situations:
Whenever an employee or supervisor approaches a problem or conflict by defining success
as getting something at the expense of another person, a disruptive workplace conflict is a likely result. A more effective approach to negotiation and conflict management than this competitive, adversarial, win-lose approach is a collaborative, mutually beneficial, win-win approach.

Use informal conflict resolution processes when possible:
Because miscommunication is at the root of many conflicts and people tend to become more defensive and adversarial in formal complaint processes, using informal approaches to conflict resolution can be very effective in preventing disruptive workplace conflicts. These informal options are discussed in more detail below.

V. Options for Conflict Resolution

Numerous options are available to University employees for resolving conflicts or disputes. No one option, however, is best or right for all employees in all situations. A number of factors can affect which option is most desirable.

Goals - What does each party want or need? What will it take to satisfy each person involved?

Approach to conflict - Does each party view conflict as (win-lose) competition or as (win-win) collaborative problem solving?

Decision control - Do the parties want to retain control over conflict resolution decisions, or do they want to let someone else decide and live with the results?

Timing - How quickly does each party need to resolve the situation? Some processes take longer than others.

Health/personal problems - Will any medical or personal factors limit either party's energy or ability to address conflict issue?

Type of issue - Are there specific offices designated to handle specific issues? For example, the University's Equity and Diversity Office handles illegal discrimination complaints.

Most situations allow for a negotiated approach, which is typically desirable because it allows all the parties involved to seek a mutually beneficial resolution. If any party feels the conflict resolution process makes him or her a "loser," it can cause resentment and negative consequences in the long-run, if not in the short-run.

Following are specific conflict resolution options that are available to University employees.

Self-Negotiated Resolution:
Most conflicts can be resolved by the parties themselves on an informal basis. The parties engage in problem-solving dialogue about their differences and possible solutions. The more respect the parties show each other in the process and the more they work together to identify solutions that work for everyone, the better the chances of successful resolution.

Internal Facilitation:
Sometimes people involved in a conflict get stuck and need a third party to help with the problem-solving process or to communicate in a more effective manner. Often supervisors or team leaders can effectively serve as facilitators for resolving conflict between employees, and managers can effectively facilitate conflict resolution between employees and supervisors/team leaders.

Outside Facilitation:
Some conflicts are more complex or intense, and so inviting in a third-party facilitator from outside the department is a desirable option. Human Resources staff, and/or the Equity and Diversity Officer (for conflicts involving illegal discrimination/harassment) can serve a role in helping the parties to negotiate and solve problems.

VI. Grievance Procedure

Some conflicts cannot be resolved through the informal options described above. For any number of reasons, one or more of the parties feels that going through a formal complaint process is the only option available to meet his or her goals. Depending on the issue involved, there is a complaint process available to employees here at the University.

Full time employees have the right to appeal in the case of a supervisory decision which has a perceived adverse effect upon the employee.

The procedure is as follows:

A. The employee must discuss the matter with the department head or supervisor in an effort to reach a solution.

B. If step A proves unsatisfactory the matter should be taken to the chief administrator of the division in an attempt at reaching a solution. This should be done within five work days.

C. If step B proves unsatisfactory or infeasible the matter should be taken to Human Resources within a total of seven work days from the time of the discussion in (A).

D. If no resolution is reached in step C, then a written appeal may be made to the President. A decision by the President, or his designated representative, within ten days of the receipt will be final.

Allegations of discrimination concerning AA/EEO/HC or Title IX matters should follow organizational channels and should be referred to the Equity and Diversity Officer or his/her representative.

Selecting Employees

HUMAN RESOURCES INFORMATION SERIES FOR SUPERVISORS

Overview

Finding and hiring the right employee can be a time consuming and laborious process. Reviewing applications, conducting interviews and checking references takes time. Unfortunately, attempts to take short cuts in the hiring process can result in selecting a candidate who later presents time consuming performance problems and can lead to additional costs to recruit, train, and select a replacement. Spending the time necessary to select an excellent candidate is more efficient than spending time and resources necessary to coach, discipline, or replace an inadequate employee. This document provides tips for screening the best candidate for your vacant position.

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I. The Requisition and Advertising Process

Regardless of whether the position you're filling is an existing opening or a newly created one, the Personnel Requisition Form is the mechanism that drives the process (attachment A). The hiring supervisor must complete Section I and secure signatures from the Department Head and the Division Vice President. For newly created positions, the President's signature must be included. Upon completion of Section I, the requisition should then be submitted to the Employment Manager and Treasurer's Office for approval.

Included with this information should be an updated job description, signed by the hiring supervisor with any changes indicated. Failure to submit the job description may delay the recruiting process. For non-exempt positions, any substantial change to the job may require that it be re-evaluated under the reclassification system before it can be advertised.

After receiving all necessary approvals, the position will be posted throughout campus, on the University's website and Human Resources Job line which can be accessed at extension 7452. The job posting is updated and distributed on the first day of the work week and summarizes job duties and requirements. Job changes and advancements within a department may be completed before a position is posted.

Supervisors are encouraged to consider all internal candidates before any consideration is given to external applicants. If a search to fill a position fails to produce qualified candidates from within the University, advertising may be done through outside local and/or regional and national resources. Recruitment and advertising may also be conducted simultaneously within the University and through outside media if it is warranted. Before ads are placed, Human Resources will determine if there are any qualified candidates from the applicant pool.

For professional job searches, the hiring supervisor must submit a Candidate Search Form (Attachment B). Important to note on this form is the application deadline date and the date that the screening of applicants will be completed. Letters sent by Human Resources to candidates will inform them that if they are not contacted within a week of the screening-completion date, they will no longer be considered for the position. Advertising preferences must also be listed. The hiring supervisor should submit a draft of how he/she would like the ad to appear. Human Resources will then review the ad, make necessary changes and place it in the requested media outlets. All resumes for advertised positions will be directed to Human Resources for inputting and Affirmative Action reporting.

Upon completion of this process, resumes will be forwarded to the hiring supervisor.

II. The Interview Process

Upon receiving applications and resumes from Human Resources, the supervisor should begin screening out applicants who do not meet the requirements of the job or whose application or resume pinpoint undesirable tendencies (e.g. frequent job change, inconsistences, etc). Please be aware the reason you use to disqualify a candidate must be entered on the Affirmative Action log. This will be addressed a little later.

After the pool has been narrowed down to a manageable number (four or five), interviews should be scheduled. This is usually accomplished through the office of the hiring supervisor although Human Resources can assist. Ideally, all parties who will directly or indirectly supervise the employee should be part of the interview process, if possible. The actual interview should take place in a quiet setting uninterrupted by phones, visitors, etc.

Before the first question in the first interview is asked, the hiring supervisor (and others who will be conducting interviews) should do a little homework. Preparation should include understanding the content of the job and what one is looking for in an applicant, reviewing the application or resume of the interviewees and making notes that will be referenced later on in the interview and preparing a list of questions. If a search committee is being used, a screening matrix of experience, education and competencies should be developed. Each interviewer should complete a matrix for each candidate. Some believe asking the same questions of all the candidates lends itself to making more effective comparisons. "Patterned" interviews are also an excellent defense against discrimination claims in the selection process.

Each interviewer has his/her own style and format when conducting interviews. There are those who profess that interviewing is an art and not a science. It's true that conducting interviews often involves some subjectivity. Inexperienced interviewers often find themselves making a hiring decision based on a "gut feeling". Seasoned interviewers, however, are successful when they employ sound interviewing skills. One key way to help make the proper hiring decision is to focus on the past behavior of the candidate. Asking open-ended or behavioral questions forces the candidate to talk about how they handled situations in their past work history. The answers they give will provide the supervisor with insight about how the candidate might handle future situations.

Here are some examples of open-ended, behavioral questions:

1. Give me an example of a situation where you had to deal with an irate student or parent. What did you do?

2. Tell me about a situation in the past where you disagreed with a supervisor's decision; how did you handle it?

3. Tell me about your prior jobs and why you left each of them.

The point here is that the candidate cannot just give a yes or no answer, but must reflect on his/her past and provide the interviewer with information that can be used to predict how future situations might be handled. When the candidate provides a vague response, the interviewer must use a follow-up question to obtain specific information. This redirects the discussion to specific behaviors. For example, "Tell me exactly what you did," or "Exactly how were you involved?"

The use of behavioral, open-ended questions will elicit responses that will provide the supervisor a glimpse of how a candidate handled situations in the past and may assist the supervisor in foreseeing how the candidate may perform if hired.

One of the most frequently asked questions is: What can I ask an interviewee? The best answer may be: Whatever has to do with the job you are trying to fill, but one must be careful. The ever-changing world of labor law prevents employees from asking certain questions that may appear to be job related but may also infringe upon an individual's rights if they are in a protected class. Questions related to a person's race, color, sex, religion, national origin, age, disability or handicap must be avoided.

Following is a list of common mistakes in interviewing. It may be helpful to review each of these and determine if a new approach or an adjustment is necessary to improve your interviewing skills.

III. Common Mistakes in Interviewing

1. Halo effect or a situation where one single characteristic dominates our judgment of the candidate. Note that this effect can be positive or negative.

2. Interviewer bias or your own attitudes and beliefs can enter into the picture and influence your hiring decision.

3. Failure to listen is often a problem. The interviewer should be able to generate questions that urge the candidate to talk more than the interviewer. In this case the interviewer must listen in order to make an intelligent hiring decision.

4. Lack of behavioral questions. Interviewers usually don't ask enough behavioral-type questions. Note that this is where you gain information on past experiences and behaviors. Also, remember that the applicant's past behavior is the best predictor of his or her future behavior. These types of questions make the interviewing process more objective and less subjective.

5. Illegal questions. If a question you want to ask a candidate is not related to the job, there is a good possibility it may be illegal. Stay focused on job-specific questions.

6. Failure to analyze the job vacancy. It is highly unlikely that you will find a truly successful candidate when you, yourself do not fully understand the job. How can you possibly fill a vacancy without a thorough understanding of what is involved?

7. Misleading the candidate. If this happens on a conscious level - you are truly aware that you are misleading - then your chances of retaining the candidate you selected may be slim. By misleading the candidate you may bring him/her "on board" but the real question is for how long?

8. Making a premature commitment. Similar to misleading the candidate, you shouldn't make promises if you can't deliver. Don't commit yourself to anything until you can thoroughly analyze the situation and obtain input from Human Resources.

IV. Avoiding Lawsuits

An interviewer making a hiring decision must be able to explain the factors that led to that decision. It is important to be aware that anything and everything an interviewer has written or said can be probed or questioned in a discrimination claim.

Following are some suggestions that an interviewer should consider:

1. Remember to focus on job-related questions during the interview. If you cannot ask a question that is "job-related," then it doesn't belong in an interview.

2. Remember to take notes - but be cautious - some notes such as "nice girl" or "mature" can support age or sex discrimination.

3. Don't offer reasons of rejection. Instead, if pressed, you can offer "We selected those we thought would best meet our current need."

4. Remember to be consistent in your application of job requirements/skills.

5. Avoid asking questions about marital status. Married? Engaged? Divorced?

6. Do not ask someone's age, what year they graduated high school or college.

7. Avoid questions dealing with a person's color, sex, religion, or national origin.

8. Do not ask an applicant how many children he/she has, who will care for them, or if the applicant plans on having children.

As a result of the Americans with Disabilities Act, and the Rehabilitation Act of 1973, inquiries pertaining to a disability or handicap are not permitted. They include but are not limited to the following:

1. Do not ask whether an applicant ever filed a workers' compensation claim.

2. Do not ask about an applicant's past drug or alcohol use. (You may ask about current drug or alcohol use.)

3. Do not ask how many days the applicant was absent from work last year because of illness.

4. Do not ask whether the applicant has any serious illnesses, back problems, mental illness, etc.

5. Do not ask whether the individual has a spouse, child or other family members with disabilities.
   If an individual has an obvious disability (such as a missing limb, or the person uses a wheelchair),

(A) Do not ask how the individual became disabled.
(B) Do not ask about the severity of the disability.
(C) Do not comment in any way on the person's physical condition.

Please see a more inclusive list of questions you are not permitted to ask later in this section.

Questions you may ask include but are not limited to:

1. You can ask about the individual's ability to perform essential job functions.

2. You may ask about current use of illegal drugs or current alcohol use.

3. You may ask about an applicant's attendance at prior jobs, if the question is limited to days off or number of days late for any reason, and is not limited to days missed due to illness.

4. You may ask whether the individual has ever been involved in an accident on the job that injured co-workers or members of the public.

5. You may state the department's standard for attendance.

V. Sampling of Interview Questions

The following is a list of questions which may prove helpful in conducting interviews:

1. Why did you leave your last job? (prior jobs)

2. Why did you choose the University to apply for a job?

3. What are your strongest (weakest) personal qualities?

4. What are your long-term goals? Where do you hope to be in five years?

5. Tell me about yourself. Expand on your resume (application).

6. What have you enjoyed most and least about the work you've done?

7. What work achievement has given you the most satisfaction?

8. Why did you choose your particular field of work?

9. What qualifications do you have that makes you feel you will be successful in this position?

10. Why are you particularly interested in this position?

11. Describe to me the leadership style you used in your last position

12. Tell me about your prior positions and what you learned from them that will help you perform the duties of this position.

13. Describe to me a situation when you had a difficult customer (student, parent) and how you handled them.

14. Tell me about a situation you faced on the job that required you to make a quick decision without a great deal of background information.

15. If you could change something about your last job, what would that be and why would you change it.

16. What are your salary requirements?

17. Tell me about your supervisory experience. How many employees? Were they secretarial, professional?

18. This position requires some overtime hours including some evenings and weekends, does this present any problem for you?

19. How would your last supervisor describe you?

QUESTIONS RELATED TO SPECIFIC
TYPES OF POSITIONS

I. Clerical/secretarial work:

1. What word processing systems have you worked with, and what are the advantages and disadvantages of each?
2. Describe the kinds of telephone and receptionist duties you have had, being specific about the number of calls and walk-ins you received in a typical day.
3. Describe your past experiences with scheduling of appointments.
4. Give me an example of a task you performed that required attention to detail, and what you did to ensure accuracy.
5. What are some of the more unusual assignments you have been given?
6. What kinds of filing systems have you used and/or created?
7. Which decisions could you make on your own, and which did you refer to your boss?
8. What kinds of reports did you develop, create, or produce?
9. What volume of mail did you typically process in a day?
10. What kinds of correspondence have you written on your own initiative?

II. Supervision:

1. Describe the positions in which you have had supervisory responsibility. How many people have you supervised and in what kinds of positions? Did you have hiring/firing authority?
2. Give an example of a time when you were disappointed by an employee's lack of accomplishment and what you did about it.
3. What are the generally accepted steps in progressive discipline?
4. In your experience, what kinds of things motivate an employee?
5. Describe what is meant by "problem employee".
6. Describe a sticky situation with an employee an what you did about it.
7. Describe an innovative way you handled a conflict involving two or more of your subordinates.
8. What kinds of things can a supervisor do to create a positive working environment?
9. What training and experience do you have in listening skills?
10. Approximately how many people have you personally hired in your career?
11. Describe an effective performance planning and review process.
12. What methods of communicating with subordinates have you found most successful?
13. What recognition and reward systems for subordinates have you found most effective?
14. What is the role of a supervisor, in your opinion?
15. What are the major responsibilities of a supervisor, in your opinion?
16. What is an effective training and orientation program for a new employee?
17. Describe the most serious complaint an employee brought to your attention and what you did about it?
18. Give an example of the most novel idea an employee presented to you and what you did about it.
19. What is meant by the term "protected class" under civil rights laws?
20. Under federal wage and hour laws, describe "exempt" and "nonexempt" employees.

IV. Management:

1. What was the level of your decision-making authority in past positions?
2. Describe a decision you made that had an unhappy result.
3. Give me an example of a decision you made that backfired and what you did about it.
4. Give an example of a decision you made that turned out better than you believed possible.
5. Describe a time when you made a decision in the absence of a clear policy regarding the issue.
6. Have you experienced political pressure that interfered with getting the job done?
7. Describe your experience with setting goals and objectives.
8. Describe your experience in developing and monitoring budgets.
9. What fiscal authority have you had in past positions?
10. Give an example of a situation in which a budget overrun was necessary to accomplish a goal.
11. What is the most effective method for setting priorities, in your opinion?
12. What would your current/past employer tell us about your ability to organize your work?
13. Describe a time when your goals conflicted with the goals of the organization and what you did about it.
14. What is your most innovative accomplishment?
15. What is your most creative idea that was turned down?
16. What experience do you have with writing?
17. What have you done in the past five years to improve your writing skills?
18. What have others said about your writing ability?
19. What experience have you had with public presentations? What was their purpose, and what visual aids and kinds of notes did you use?

QUESTIONS NOT TO ASK CANDIDATES

1. What kind of child-care arrangements do you have?
2. Does your spouse expect you to be home to cook dinner?
3. What will you do if your children get sick?
4. How do you get to work?
5. How many children do you have?
6. Does your spouse live with you or contribute to your support?
7. Do you own a home?
8. Do you own a car?
9. Do you have any debts?
10. Do you have any loans?
11. Do you plan to get married?
12. Do you plan to have children?
13. What sort of birth control do you use?
14. Are you likely to quit if you get married or have children?
15. Is your spouse likely to be transferred?
16. Is your spouse from this area?
17. Would a white (or black) supervisor create any difficulties for you?
18. How do you feel about having to work with members of a different race?

19. Are you a militant?
20. Do you get along well with other women (or men)?
21. Will it bother you if others swear?
22. What language does your mother/father speak?
23. Were you born in this country?
24. Do you have people in the “old country”?
25. That’s an unusual name-what nationality are you?
26. Can you provide a photograph of yourself?
27. How old are you?

VI. Concluding the Search

Once the decision has been reached who the best candidate is, and, hopefully, that individual accepts the offer, the tough job of finding the right person for the job is over. However, there are a few details that need to be completed before the search is closed.

Before a formal job offer is made, the hiring supervisor should first conduct a background check. With the applicant's permission, the supervisor should contact former employers and, at some point, the current employer, to secure information about the candidate. These references should be recorded in written form and forwarded to Human Resources if the person is hired. Negative references should also be forwarded to Human Resources and will be filed with the individual's application. A supervisor's failure to conduct reference checks could result in a negligent hiring claim if the individual who is eventually hired was guilty of some type of infraction or crime in their prior work history and commits that same infraction in the new position. For example, an individual terminated from a former job for assault is hired by the University and assaults a student. That student can sue the University for negligently hiring this individual if the University failed to conduct a background check and make an attempt to investigate the employee.

Listed below are some of the items that can be discussed in a background check:

1. Confirming the type of employment, employment dates, earnings.

2. Requesting feedback on performance such as work quality and quantity, ability to learn quickly, skills and abilities. What were these individual responsibilities? What were the biggest contributions the individual made to your organization?

3. Personal qualities - a team player?, cooperative?, interface with co-workers, customers, students?

4. Attendance - Did the individual arrive on time and observe lunch breaks? The Americans with Disabilities Act disallows questions pertaining to sick time but questions can be asked about dependability and reliability.

5. Would the employer consider rehiring the individual?

6. Why did this person leave your organization(s)?

A supervisor considering an internal applicant should contact that person's current or past supervisor for the purpose of seeking references or may review performance appraisals.

The next item pertains to the unsuccessful candidates. These are the individuals who were interviewed but for one reason or another, were not selected. Letters of rejection should be sent or, if the supervisor prefers, a phone call can be made, to inform the individuals they were not selected. Human Resources uses a standard letter to convey this message in a succinct, but empathic way. Often times, supervisors prefer to send their own letters. This is acceptable although Human Resources should review all letters before they are sent.

An offer letter should also be sent to the successful candidate (See attachment C). Such correspondence is a wonderful opportunity to welcome the individual to the University and serves as a written follow-up to what was orally agreed to. Supervisors should confirm the starting salary with Human Resources before the offer is extended.

Affirmative Action Reporting

The final ingredient necessary to conclude the recruiting process is the completion of the Affirmative Action log (Attachment D). The University is required to maintain an Affirmative Action Program, which is designed to accelerate the achievement of equal opportunity for women and for persons of color and to ensure equal opportunity in all aspects of employment. The hiring supervisor's role in this mission is to summarize, and report to Human Resources, the results of his/her search. This reporting is required for all positions.

Non-Exempt Positions

All applicants for a particular position should appear on the log, but there are some exceptions. For positions that are filled internally, i.e., within the University community, only the names of internal applicants should appear. There are some internal searches for which external candidates apply. These individuals need not appear on the log since there was no formal job announcement external to the University. In the event the hiring supervisor does entertain both internal and external candidates, all applicants should appear on the log.

Searches for non-exempt positions require the hiring supervisor to complete the log in its entirety. The front of the form requires the date the applicant applied, name, sex, whether the applicant is a member of a minority group (if this is known), the referral source, whether or not interviewed and if they were not interviewed, the reason why. Included as Attachment E is a list of reasons to be used.

The reverse side of the log is a section summarizing the recruiting activity. An important section to note is the "Apparent Composition of Field of Candidates." The hiring supervisor must provide a numerical breakdown of the sex and minority group status of all interviewees. The next section asks for the name of each interviewee, whether he/she was offered the position, whether he/she was hired, and most importantly, the reasons the unsuccessful candidates were not offered the position. Once again, the reasons in Attachment E should be used. Finally the hiring supervisor should sign and enter the date in the section "Search Chair." The completed log should then be sent to Human Resources, along with all resumes and/or applications generated by the search.

Exempt Positions

The Banner System's applicant tracking module provides a printed summary of applicants for professional searches. The hiring supervisor will still be asked to provide reasons why applicants weren't interviewed using the same list from Attachment D. Also the hiring supervisor must provide the minority status of each individual interviewed, if it is known, provide reasons why the unsuccessful interviewees weren't hired, sign and date the log and return it to Human Resources.

VII. Summary

This hiring guide has been designed to assist supervisors recruit and retain the best qualified person for the job. Additionally, it will provide assistance with the completion of various forms necessary to begin and conclude the recruiting process. Any questions related to employment and staffing should be directed to the Human Resources department. Feel free to contact Human Resources at any time for advice and direction before you begin a search.

Attachment B

Human Resources
Scranton, Pa 18510-4679
(570) 941-7767

REQUEST FOR CANDIDATE SEARCH
ADMINISTRATIVE/PROFESSIONAL
STAFF POSITIONS

Please Print or Type

Department:____

Title of Position:____

The position description is: ( ) new (or revised) and attached
( ) continued as previously written
( ) enclosed

Salary: Approved at minimum of $__________, maximum of $ __________ or ______________

Date position begins:______________________________

Advertising sources preferred: ____
____
____

Application deadline:___________________________________

Screening will be done by (department or persons):___________

Screening will be completed by (date):_____________________
Please note that letters sent by Human Resources to all applicants will inform them that if they are not contacted within 7 days of this date, they are no longer being considered for this position.

Interview arrangements with candidates will be the responsibility of _______________________

Candidate selection will be by ____

Rejection letters will be prepared by ____

Human Resources will provide a sample of an offer letter that should be sent to the successful candidate by the hiring supervisor.

____________________________________ ___________________________
(Signature) (Date)

ATTACHMENT C

Welcome Letter
To the New Non-Exempt Employee
(from the Supervisor)

[Today's Date]

[Employee's Name]
[Employee's Address]

Dear [Employee's Name]:

On behalf of our entire department, welcome to The University of Scranton. We are looking forward to your joining us as [job title] on [start date] at an hourly rate of [hourly rate]. To help you become more familiar with your new job, I've enclosed a current job description.

You can report to [location] at [time] on your first day of work. Sometime that morning, you will meet with a member of the Human Resources department to complete some required documents. Per federal requirements you will need to produce either: (1) a United States Passport; or (2) a drivers license and a birth certificate <u>or</u> a social security card. If you do not possess these documents, you can inquire about other options by contacting Human Resources at (570) 941-7767.
In addition, you will need to provide the date(s) of birth and social security number(s) of any dependents and beneficiaries.

We require all new employees to have their payroll checks deposited directly into their checking or savings accounts, so please also bring a voided check or deposit ticket with the name of your bank, the transit/routing number and your individual account number.

When you arrive in our department, you will have the opportunity to meet your coworkers. I'll also assign you to a "buddy" who will serve as a guide and trainer during your orientation. Your "buddy" can be a helpful resource to answer a number of questions.

We are looking forward to your arrival.

Sincerely,

[Supervisor's Name]
[Supervisor's Title]

encl: job description

ATTACHMENT D

Welcome Letter
To New Exempt Employee
(from the Supervisor)

[Today's Date]

[Employee's Name]
[Employee's Address]

Dear [Employee's Name]:

On behalf of our entire department, welcome to The University of Scranton. We are looking forward to your joining us as [job title] on [start date] at a bi-weekly salary of [salary] (________annualized).

A signed copy of this letter, returned to me, will indicate your acceptance. Please call me at (570) 941-_____ for any additional clarification.

You can report to [location] at [time] on your first day of work. Sometime that morning, you will meet with a member of the Human Resources department to complete some required documents. Per federal requirements, you will need to produce either: (1) a United States Passport; or (2) a drivers license and a birth certificate <u>or</u> a social security card. If you do not possess these documents, you can inquire about other options by contacting Human Resources at (570) 941-7767. In addition, you will need to provide date(s) of birth and social security number(s) of any dependants and beneficiaries.

We will inquire all new employees to have their payroll checks deposited directly into their checking or savings accounts, so please also bring a voided check or deposit ticket with the name of your bank, the transit/routing number and your individual account number.

When you arrive in our department, you will have the opportunity to meet your co-workers. I'll also assign you to a "buddy" who will serve as a guide and trainer during your orientation. Your "Buddy" can be a helpful resource to answer a number of questions.

We hope your decision is to join the University of Scranton community.

Sincerely,

John Doe, Manager
University of Scranton

Acceptance:_______________
John Doe

C: Human Resources

ATTACHMENT E

SCT/BANNER HRM SYSTEM FOR NON-SELECTION OF STAFF

USE THE PREFIX:

N = THOSE WHO DO NOT MAKE THE INTERVIEW STAGE
I = THOSE WHO REACH THE INTERVIEW STAGE

A - NOT ACADEMICALLY QUALIFIED
(Does not meet minimum academic qualifications advertised.)

B - WRONG DEGREE
(Degree in a field not compatible with the needs of the department as advertised.)

C - WRONG SPECIALIZATION
(Area of specialization or interest overlaps significantly with those of current members of the department and hence does not fit with the needs of the department as advertised.)

F - APPLICATION NOT COMPLETE
(Failed to complete application process.)

G - WITHDREW
(Voluntarily withdrew.)

H - WEAK QUALIFICATIONS
(Not as strong as ones to be interviewed/hired.)

I - INSTITUTIONAL FIT
(Potential conflict of interest with campus interest and goals.) Please provide additional information to substantiate this reason.

J - REFERENCE QUALITY
(Quality of references weak.)

M - NOT INTERESTED
(Interview revealed that this candidate was not interested in the assignment required by this position.)

Q - DECLINED OFFER
(Offered the position but declined.)

R - POOR INTERVIEW
(The overall interview was poor.)

S - COMMUNICATION PROBLEM
(Interview process demonstrated poor communication skills.)

T - ERRATIC WORK HISTORY
(Prior work experience indicates frequent job change.)

U - OVERQUALIFIED
(Candidate's background exceeds the needs of the Department.)

HR - INTERVIEW HIRED

Orientation for New Employees

HUMAN RESOURCES INFORMATION SERIES FOR SUPERVISORS

I. New Employee Evaluation Period
II. Department Orientation
III. Human Resources Orientation
IV. Mission Orientation
V. The Orientation Program
VI. Department Checklist
VII. The Learning Buddy
VIII. Sample Offer Letter

I. New Employee Evaluation Period

New hourly employees are subject to an evaluation period of three months from the date of employment or transfer to a new position. An evaluation form will be presented to the supervisor prior to the completion of this period. During this period the supervisor may initiate action, in the event of unacceptable performance, up to and including discharge without having to issue corrective action notices (this does not refer apply to transferred employees). The new employee evaluation period may be extended for an additional month when necessary. The supervisor must notify the employee in writing of this decision and should consult with Human Resources before taking such action.

II. Department Orientation

Most new employees arrive for the first day of work full of enthusiasm and excitement. This initial interest can either be put to positive use or destroyed, depending on how it is nurtured. The primary goal of new employee orientation is to welcome the employee, provide the needed information and access to resources, and create a positive first impression that will foster pride in the University and in the employee's daily work.

As a supervisor, you are entrusted with the responsibility of welcoming the newest member of your team. To assist you in this endeavor, Human Resources has created an orientation guide. Included in this packet is a checklist for you to use as a tool to achieve the objective of orienting your new staff member. Also, the introduction of the "learning buddy" to the orientation process is enclosed. The learning buddy is responsible for giving assistance to the new employee on an as needed basis.

Upon notification you have hired a new employee, Human Resources will forward the orientation materials to you. We are asking you to complete the checklist and return it to Human Resources two weeks after your new employee's start date.

III. Human Resources Orientation

Human Resources has modified the orientation schedule for staff employees. Our department will continue to meet with new employees on their first day of work, but it will be a rather brief session of fifteen minutes or so to complete internal paperwork, e.g., the W-4, I-9, etc. The completion of these forms will be required so the new staff member can be paid in a timely manner. We will also provide them with an application for a parking permit and a Royal Card.

All full-time new-hires will be asked to return to Human Resources on the fifteenth or thirtieth of each month to receive a more thorough presentation of University benefits, paid time-off plans, and policy review. Employees will be enrolled in the various insurance programs at that time. If the fifteenth or thirtieth happens to fall on a weekend or holiday, the orientation session will be held on the last work-day preceding the weekend or holiday.

Part-time employees will receive a full orientation on their first day of employment.

There are a number of reasons for this approach to orientation. First, a new employee should spend as much of the first day as possible in his/her department, meeting co-workers and learning about his/her role in the department. Secondly, with the anxiety and anticipation a first day of work often creates, much of the benefit information he/she receives may be easily forgotten. Finally, having scheduled orientation sessions will enable Human Resources to plan more effectively and eliminate redundant sessions.

IV. Mission Orientation

The final ingredient in welcoming employees to the University is introducing them to the values and mission of our institution. Within four to six weeks of their start date, new staff members will be invited to an information session on the University Mission, Multi-Culturalism and Sexual Harassment. These sessions will be informal and will provide attendees with the foundation necessary to effectively serve our students, their families, and members of the University community in a caring manner. Following this program, the President will host a lunch for participants.

Each October, all new full-time staff members gather at the University Conference and Retreat Center at Chapman Lake for the New Employee Orientation Program. This all-day gathering provides the opportunity for new employees to hear presentations from Division Vice Presidents and other department heads.

V. The Orientation Program

Introduction

New employee orientation is not difficult and need not consume a large amount of time. In fact, when done properly, orientation will save time in the long run. A well-planned and executed orientation will result in fewer mistakes and a better understanding of what is expected. Without a well-planned orientation program, new employees are forced to learn on their own. This can be time consuming and inefficient. Often an employee will lack some essential information or receive incorrect or misleading information.

All employees, full-time and part-time, should be oriented. This guide will assist you through the orientation process for a new employee, whether full-time or part-time. You should adapt the activities to suit each new employee. If the employee has not previously worked for The University of Scranton, he/she should complete the entire orientation process. Part-time employees will also benefit from this orientation and should participate.

Goals:

< Make a positive impression on the new employee

< Welcome the new employee to The University of Scranton and ensure he/she feels a part of the larger community.

< Acquaint the new employee with the values, beliefs, goals, and mission of The University of Scranton

< Provide a general overview of programs and resources

< Create an environment for meeting other staff members

< Foster an atmosphere for informal learning

< Provide the new employee with those resources, including knowledge, which he/she will need to begin his/her new job

< Lessen the "trial and error" time period in learning a new job

< Complete required employment paperwork relating to insurance, retirement, payroll, and other benefits

< Encourage institutional excellence by communicating expectations of quality performance

What the Supervisor Should Do...

Orienting a new employee to his/her job is the responsibility of the employee's supervisor. As the department supervisor, you are responsible for the overall performance of the department; a well-oriented and well-trained employee will contribute to that success.

What the Supervisor Should Do Before an Employee Starts:

Process, not an Event:

Successful new employee orientation is an enthusiastic welcome, full of variety and timely information. Orientation needs to be a process...not just a one day event. Even though other orientations are planned at the University, your role in the department is an ongoing one to ensure that the new employee is assimilated into the University culture and can perform his/her job as soon as possible. There is just too much information to absorb at one time. Adult learning theory tells us we retain information best when we are active participants in the learning, and when we receive the information as we need to use it.

<u>Good First Impression</u>:

You never get a second chance to make a first impression. Orientation is the time to roll out the red carpet. How you do that depends on your department: perhaps an informal social gathering, like coffee and donuts, to introduce the new employee to fellow workers or an announcement memo to all appropriate individuals. It is critical to make a positive impression during this period. If we want new employees to feel pride in their work and in The University of Scranton, then we must show them we have pride as well. Everything that happens the first few days will affect a new hire's perceptions. The quality of orientation is a reflection of an organization as much as any product or service offered. You create a positive perception by being organized and having a planned orientation.

<u>As Soon as Applicant Accepts Offer:</u>

When you plan for success, you are more likely to achieve it. Some key planning elements:

1. Send an internal memo to coworkers announcing the new employee's arrival date and duties.

2. Send the new employee a welcome letter with specific reporting information. **A prototype letter is enclosed.**

3. Clear your schedule. Orientation is not a time to be out-of-town or locked up in meetings. As a supervisor, you are responsible for getting things started during orientation. It is not the responsibility of a secretary or another employee to do your job. They may be involved, but the new employee should not be assigned to anyone until you have made the initial contact and established a plan for the day.

4. Decide on the expectations of quality performance you want to convey to the new employee. You and other department members control a new employee's expectations. If you expect quality performance and communicate it by word and deed, you increase getting high performance.

5. Prepare job standards.

6. Select a "learning buddy" for the new employee.

7. Decide on the method of orientation: Will you do all of the orientation, or will you assign some responsibilities to the learning buddy? **Use the Department Orientation Checklist as a planning guide.**

8. Plan a meaningful work assignment(s) for the new employee for the first few days.

<u>What the Supervisor Should Do After the Employee Starts</u>:

<u>The First Day in the Department</u>

Make time to meet. Be on time. If you are late for your first meeting, you will communicate being on time is not important. Do everything you can to put the employee at ease. You set the example for everything that happens the first day. What you do or don't do, and what you say or don't say, will be noticed and remembered. The standards you demonstrate will be quickly communicated by your action. Devote as much time as possible on the first day to the new employee.

Assign a meaningful work task to the new employee. Reading stacks of papers or manuals is not a good beginning. Meaningful work may be as simple as using the computer, reviewing files from the previous employee, observing someone doing a task the new employee will be doing, or reviewing documentation pertinent to his/her specific job.

Accompany the employee to lunch. If you cannot, be sure someone else is available to do so.

Close the first day on a positive note. Before leaving, the manager should spend some private time with the employee. Review any progress made on any first day work assignment. Do your best to make a good parting impression.

Remember new employee orientation is a process. Considerable emphasis should be placed on the first day's activities because they are critical. However, the orientation process will continue over several days or weeks. An employee cannot learn everything in the first day. In your effort to make the new person feel welcome, limit how much information is communicated.

<u>Department Orientation Checklist</u>:

Use the department orientation checklist (enclosed) to ensure necessary orientation progress with the employee and the learning buddy are covered. Complete the checklist within two weeks and return the signed form to the Human Resources Department.

<u>Job Training</u>:

The new employee will need to learn the specifics of his/her individual job. It is up to you to organize and direct this learning. Providing procedure guides and reference manuals, observing an experienced worker, setting up structured on-the-job training, contacting Information Resources, and using a mentoring approach are viable options. You can contact the Human Resources Department for assistance in developing this job-training plan.

VI. Department Orientation Checklist:

(If not applicable, please write N/A)

Supervisor prior to Day 1:

___ Contact employee to confirm time, place, start date
___ Send letter confirming employment (see attached)
___ Announcement memo for new person to department and University community (if appropriate)
___ Prepare agenda for day 1 and training schedule
___ Make sure office/work area is supplied and in order
___ Order appropriate business cards (if appropriate)
___ Ask another department member to assist with "learning buddy" or mentoring responsibilities

(Please see attached selection criteria and checklist for "learning buddy" role.)

Supervisor on Day 1:

___ Introductions to co-workers
___ Introduce to your supervisor and/or vice president
___ Arrange for necessary keys
___ Explain office opening/closing protocols
___ Review use of telephone and voice mail (contact Network Services for training,) arrange for and train on Netscape
___ Explain how you want to be notified about absences and tardiness
___ Explain office hours, breaks, lunchtime, and vacation scheduling
___ Explain department rules (including confidentiality), policies, and procedures
___ Inclement weather policy
___ Explain time card policies (hourly only)
___ Show locations of exits, fire extinguishers, restrooms and evacuation procedures.
___ Review job description
___ Reporting work-related accidents/illness
___ Review safety policies
___ Explain how your department interacts with other departments
___ Explain committees/meetings to be attended
___ Schedule blocks of time to meet with new employee during the first two months
___ Spend the end of the day with the new employee to talk about the day

Supervisor by the End of the First Week:

___ Progress to date; employee's questions/obstacles
___ Job training schedule adjustments, if needed
___ Organization chart; different company functions
___ Role of department in organization
___ Job responsibilities of other department employees
___ Department goals and strategic plans
___ Travel policy/mileage reimbursement
___ Purchasing policies
___ On-line purchasing requisition training
___ Budget procedures
___ Review the University's mission and strategic plan
___ Performance appraisal process
___ Probation review expectations
___ Job performance expectations and evaluations
___ Goal setting

Supervisor by the End of the Second Week:

___ Progress to date
___ Brief review of all first-day and first-week discussion items: Any questions?
___ Schedule time for the probationary review

I have received orientation and training on the items checked on the orientation checklist. (Send completed form to Human Resources.)

______________________	______________________
New Employee	Date
______________________	______________________
Supervisor	Date

VII. The Learning Buddy's Role:

As the name indicates, a "Buddy" gives personal assistance to the new employee on an as needed basis. The supervisor and the buddy should work closely to determine which department information "the learning buddy" and which information the supervisor will address.
Ideally, the buddy will work in the same department as the employee. However, in some situations there may not be an appropriate individual within the same department. In this case, departments with similar functions, or ones located near each other, will need to team up to provide a suitable buddy. The employee's supervisor may serve as the buddy.

Selection Criteria:

The Most Effective Choice for a "Learning Buddy":

< Has been employed more than one year
< Is compatible with the new employee in age, education, temperament, etc.
< Is given time to be accessible to the new employee
< Has a good performance history
< Is skilled in the new employee's job
< Is proud of the organization
< Is a peer of the new employee
< Has patience, good communication and interpersonal skills
< Wants to be a "Buddy"
< Is a positive role model (well-regarded and accepted by current employees)
< Has been selected in advance and trained in "Buddy" responsibilities

"Learning Buddy" Functions:

< Be an information source for the new employee on policies, procedures, work rules, norms, etc.
< Help the new employee clarify assignments
< Help the new employee socialize
< Assist in training the new employee
< Be a lunch companion
< Be a tour guide
< Provide positive feedback and encouragement to the new employee
< Identify resources
< Help, temporarily, to sort out priorities for the new employee
< Provide introductions

"Learning Buddy" Checklist

- ___ Explain where to get supplies
- ___ Identify bulletin boards where information is posted
- ___ Offer to take the new employee to lunch
- ___ Show employee how to use and offer training on equipment (fax machines, phone system, copiers, etc.)
- ___ Explain interoffice and external mail process
- ___ Explain Treasurer's Office procedures such as travel reimbursement and getting invoices paid
- ___ Show work area or office; explain ability to decorate with personal items
- ___ Be available to provide support and answer questions
- ___ Tour of campus with focus on key offices and key contacts (Wolves Den, Estate)
- ___ Show new employee cafeteria, library, Byron Rec Center, mailroom, bookstore, print shop, etc.
- ___ Show break or lunch area within the office area

VIII
Welcome Letter
To the New Non-Exempt Employee
(from the Supervisor)

[Today's Date]

[Employee's Name]
[Employee's Address]

Dear [Employee's Name]:

On behalf of our entire department, welcome to The University of Scranton. We are looking forward to your joining us as [job title] on [start date] at an hourly rate of [hourly rate]. To help you become more familiar with your new job, I've enclosed a current job description.

You can report to [location] at [time] on your first day of work. Sometime that morning, you will meet with a member of the Human Resources department to complete some required documents. Per federal requirements you will need to produce either: (1) a United States Passport; or (2) a drivers license and a birth certificate or a social security card. If you do not possess these documents, you can inquire about other options by contacting Human Resources at (570) 941-7767.
In addition, you will need to provide the date(s) of birth and social security number(s) of any dependents and beneficiaries.

We require all new employees to have their payroll checks deposited directly into their checking or savings accounts, so please also bring a voided check or deposit ticket with the name of your bank, the transit/routing number and your individual account number.

When you arrive in our department, you will have the opportunity to meet your coworkers. I'll also assign you to a "buddy" who will serve as a guide and trainer during your orientation. Your "buddy" can be a helpful resource to answer a number of questions.

We are looking forward to your arrival.

Sincerely,

[Supervisor's Name]
[Supervisor's Title]

encl: job description

Welcome Letter
To the New Exempt Employee
(from the Supervisor)

[Today's Date]

[Employee's Name]
[Employee's Address]

Dear [Employee's Name]

On behalf of our entire department, welcome to The University of Scranton. We are looking forward to your joining us as [job title] on [start date] at a bi-weekly salary of [salary] (_______annualized).

A signed copy of this letter, returned to me, will indicate your acceptance. Please call me at (570) 941-____ for any additional clarification.

You can report to [location] at [time] on your first day of work. Sometime that morning, you will meet with a member of the Human Resources department to complete some required documents. Per federal requirements you will need to produce either: (1) a United States Passport; or (2) a drivers license and a birth certificate <u>or</u> a social security card. If you do not possess these documents, you can inquire about other options by contacting Human Resources at (570) 941-7767.
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We require all new employees to have their payroll checks deposited directly into their checking or saving accounts, so please also bring a voided check or deposit ticket with he name of your bank, the transit/routing number and your individual account number.

When you arrive in our department, you will have the opportunity to meet your coworkers. I'll also assign you to a "buddy" who will serve as a guide and trainer during your orientation. Your "buddy" can be a helpful resource to answer a number of questions.

We hope your decision is to join the University of Scranton community.

Sincerely,

Jane Doe, Manager
University of Scranton

Acceptance: ________________
John Doe

C: Human Resources

Improving Performance Using Corrective Action

HUMAN RESOURCES INFORMATION SERIES FOR SUPERVISORS

Overview

Unacceptable employee performance may create frustration, reduce productivity and weaken unit morale. The first step toward improving performance is to determine why the employee is failing to meet expectations. This information guide discusses factors that often cause performance problems and describes strategies designed to correct unsatisfactory performance.

I. Supervisor and Employee Rights

Supervisor: has a right to expect successful employee performance and a right to expect the employee to correct performance that fails to meet established standards. For serious problems or continuing problems that are not addressed through coaching, the supervisor has the right to initiate appropriate corrective discipline or discharge.

Employee: has a right to be informed of the standards by which performance will be evaluated and to be given reasonable feedback and support neccessary to meet those expectations. The employee also has the right to resources to prevent or correct performance problems. Eligible employees also have the right to grieve any unfair disciplinary actions.

II. Performance Problems- Origins and Options

Performance problems or poor work habits like absenteeism and tardiness may be the result of vague expectations, medical issues, personal problems or job dissatisfaction. Determining the origins of unacceptable performance is the first step toward making necessary improvement. Following are typical factors that contribute to performance problems and options and resources that may be considered.

Unclear/Unfair Expectations

Performance problems may occur when a supervisor and employee lack agreement about expectations. The supervisor should make expectations as objective and measurable as possible. For example, instead of an expectation to "complete the report in a timely manner," a more clear expectation would be to "complete the report within two business days."

Unreasonable expectations can also lead to performance problems. Competing priorities, unexpected changes, and inefficient processes can often lead to unfair expectations. The supervisor and employee should work together to identify priorities and revise schedules and procedures necessary for successful performance.

Inadequate Knowledge/Skills

Given the changing nature of work, knowledge and skills that provided successful performance in the past may no longer be adequate. Assessing required knowledge, skills and competencies, and then providing appropriate training and development may significantly improve performance.

Workplace Conflict

Conflict with a supervisor or other coworkers may result in a decline in performance. Conflict may be the result of such things as divergent work styles, disagreement about how work should be performed, or unwillingness to function as part of a team. Determining why the conflict exists is required. To do this, a frank discussion about the existing conflict and possible remedies is advised.

Job Dissatisfaction

If the employee's job dissatisfaction is related to a bad job "fit," the employee may need to consult with Human Resources.

Health Problems/Disabilities

Sometimes performance problems are due to a medical condition or disability. In some cases (such as for some mental health problems), the employee may not be aware of how the health problem is affecting his or her work. If time off from work will help, the employee may be eligible to take Family and Medical Leave, regular sick leave, or other appropriate leaves. A supervisor may also require a fitness for duty evaluation if there are questions about the employee's ability to work in a safe manner. For qualifying disabilities, the employee may request an accommodation under the Americans With Disabilities Act.

Personal or Family Issues

If a typically strong employee begins to lose focus at work, appears moody or irritable, or simply declines in performance, health or family problems may be to blame. If this is the case, referral to the Counseling Center may be in order. However, Human Resources should be consulted before any referral is made.

III. Self-Correction and Coaching

Inadequate performance or poor work habits may be the result of several factors, but regardless of why performance is unacceptable, the employee is responsible for doing what is necessary to achieve successful performance. Whether giving the supervisor feedback about unclear or unfair expectations, making training requests, attempting to resolve conflicts, or accessing needed campus support services or benefits, the employee has a key role in solving his or her performance problems. While not all the factors contributing to performance problems may be within the employee's control, the employee must take whatever steps are possible to improve his or her performance.

The supervisor also plays a key role in correcting problem performance. Most problems can be prevented or corrected by clearly communicating clear and reasonable expectations and providing feedback through the coaching process. More difficult problems may require a more intensive approach to coaching. If performance problems continue despite intensive coaching, the supervisor may need to take a more serious action.

IV. Investigation and Documentation

In order to address a continuing or serious performance problem, a supervisor or manager needs to investigate and document the situation. There are many reasons to do a thorough and fair investigation of a performance problem and to obtain relevant documentation. Sometimes problems are only based on perceptions, with no factual or documented evidence to support such perceptions. Sometimes allegations come from biased sources. When more serious actions are being considered, information should be organized for review by Human Resources. It is important to recognize that actions based on incomplete or inaccurate information may be challenged by eligible employees through the grievance procedure or with a discrimination complaint.

V. Corrective Action

The intent of the corrective action process is to ensure that the employee is aware of a problem, and potential solutions, before it becomes too serious and adversely affects the individual's status. While corrective action may start at any step, depending upon the severity of the first offense, the normal sequence is as follows:

A. **Counseling Session** - After recognizing shortcomings with an employee's work performance and/or work habits, the supervisor should discuss this situation with the employee and together, they should explore ways to correct these problems. A statement, indicating the date and subject of discussion, should be retained by the supervisor for future reference, if necessary.

B. **Corrective Notice** - If there is little or no improvement, a subsequent discussion should be held in which the problem is formally outlined in the form of a corrective notice. The supervisor should contact Human Resources to ensure the documentation is complete. This notice should specifically refer to, list the date(s) of, and summarize the previous counseling session(s), and identify the problem and specify what course of action will follow if the performance deficiency is not corrected. The specified course of action must include reference to further disciplinary action, up to and including final notice and/or termination of employment. The employee should be asked to sign the document and should be given a copy. A third party should be present to act as witness if the employee refuses to sign the document. The original should be forwarded to Human Resources.

C. **Final Corrective Notice** - If the problem persists, the employee will be given a final written notice. The information contained in step B should be included in this final notice (summarize previous warnings, restate the problem, suggest solutions, offer your assistance). The employee must also be notified that failure to reach acceptable performance will result in termination from the University. Once again, Human Resources should be consulted before action is taken.

D. **Discharge** - If the employee has not reached and maintained an acceptable level of performance, termination will occur. As mentioned earlier, certain steps in this process may be eliminated depending on the severity of the situation. Certain acts of willful misconduct, may result in immediate dismissal. Examples include but are not limited to:

Dishonest acts, falsification of University records, physical assault, misrepresentation of illness or injury to obtain benefits, divulging confidential information, violation of the University's sexual harassment policy or other policies, possession of deadly weapons or explosives or controlled substances and insubordination.

A meeting prior to termination should be scheduled with Human Resources to review all facts and previous documentation. An exit interview for the terminated employee should be scheduled at this time.

All disciplinary notices will be disregarded following a one year period from the date of the last occurrence except where a subsequent infraction is one of the same or similar nature as the one that promoted the corrective action. **It is as important to inform an employee that performance has improved to an acceptable level as it is to inform an employee of deficiencies**. When this occurs, it will be the responsibility of the supervisor to inform the employee and document the improvement in the employee's personal file.

VI. Frequently Asked Questions

Q: *A usually outstanding employee has suddenly become moody and unproductive/ Are there any signs that would confirm that he is facing personal problems?*

A: Warning signals that an employee is experiencing personal problems may include absenteeism, inability to concentrate, confusion, inconsistent work patterns, lowered job performance, disregard for safety requirements, and poor relationships with other employees.

Q: *One of our brightest employees is refusing to participate in our new team-based structure, arguing that she is smarter than the other team members and does not want to be "pulled down" by the low standards of the other team members. Any suggestions?*

A: Making the transition to a team-based environment can be difficult for highly skilled and competitive employees. When speaking with the employee, the supervisor should recognize her concerns, acknowledge her past performance, and stress the value that she will bring to the team. The supervisor may also want to stress that the employee's involvement in a team-based process will improve the overall performance of the program or department, thereby increasing her personal status.

During the course of these conversations, the supervisor should speak candidly with the employee about her interest and willingness to remain part of the organization. If she would rather work elsewhere, proclamations about the value of team work will not be convincing. If the organizations truly moving toward being a team-based structure, involving other team members in the discussion may be appropriate.

Q: *We recently learned that one of our computer programmers is running a consulting business from his office. I suppose this explains his recent inability to complete projects. What should we do?*

A: Investigate and determine the extent of the University resources and work time used for the consulting business. It is clearly inappropriate to use University resources on work time to conduct personal business which does not benefit the University. Reimbursement for phone charges and office supplies may be required, and disciplinary action ranging from a formal reprimand to termination may be in order depending on the extent of this activity.

Q: *Our department has a great receptionist with one major fault. He is 10-20 minutes late three to four days a week. Other than that, he is well-liked by his colleagues, is wonderful with our students, and is always willing to pitch in on new projects. Unfortunately, our office starts receiving class and visitors at 8:00a.m. and he needs to be here to receive them. What options do we have?*

A: It is hard to discuss your options without knowing why the receptionist is so frequently late. Perhaps he is not "a morning person" and has trouble waking up on time. Perhaps his child's school opens too late for him to arrive on time. It is even possible that he doesn't appreciate the need to arrive by 8:00a.m.

The supervisor needs to discuss the situation with the employee and seek to determine why he is constantly tardy. Before school care, another bus route, or a flexible schedule in which another employee covers the front desk for 30 minutes each morning might be options to consider.

Q: *We caught one of our nonprobationary employees stealing whole crates of maintenance supplies. Do we really have to go through the whole progressive discipline process?*

A: Reviewing the situation with Human Resources is in order, but generally, in cases of gross misconduct-- and stealing is definitely gross misconduct -- and employee can be terminated without any previous warnings. In his case, putting the employee on leave with pay while the matter is reviewed may be appropriate.

Performance Management

HUMAN RESOURCES INFORMATION SERIES FOR SUPERVISORS

I. Overview

Employees are most likely to be successful performers when they clearly understand their assignments, know what level of performance is considered acceptable, and receive consistent feedback. Evaluation of an employee's performance is not just a once-a-year activity done *by* a supervisor *to* an employee. It is an ongoing process that involves information from coworkers, customers, the supervisor, and even the employee. The employee is just as responsible for his or her successful performance and evaluation as the supervisor.

A formal appraisal is an important opportunity to summarize the informal evaluations of the employee's performance over a long period of time. The University policy currently requires that an employee receive at least one formal appraisal every 12 months.

II. Supervisor and Employee Rights

Supervisors: have the right of final approval on which levels of performance will be considered successful and to hold employees accountable for meeting these standards. Supervisors also have a right to formally evaluate employees on a periodic basis and provide informal feedback on a frequent basis in order to achieve the level of performance required to manage a successful program, service or department.

Employees: have a right to be informed of performance expectations and to be evaluated as objectively as possible. Employees also have a right to periodic performance feedback and to at least one formal evaluation each year.

III. Assignments and Job Descriptions

The first step to successful performance is ensuring that the employee is clear about what he or she is assigned to do. What is the employee's role within the organization? What are the duties and responsibilities?

Each position in a department has it's own unique set of duties and responsibilities. For example, not all secretaries perform exactly the same combination of tasks, though much of what they do is similar. An exact description of the duties and responsibilities an employee needs to perform can be provided by writing (or updating) a department (or functional) job description. The description should be specific to the position(s) in a particular department or unit. It should include the phrase "and other related duties as assigned" to cover unexpected or occasional tasks and should be updated as often as is needed to keep it current.

IV. What Success Looks Like- Goals

Clarifying duties and responsibilities provides a framework for the crucial activity of setting performance standards. The supervisor and the employee both need some way of determining how well the employee is doing. It is important for the standards to be negotiated and set *before* the employee starts performing work that will be evaluated, whether the employee is new to the University or new to the position as a result of transfer or promotion. It is also important to update the standards as the work situation changes.

Negotiation is important because many factors (staffing levels, workloads, or stressful work conditions, for example) can affect the fairness of an expectation. The more the employee is involved in setting/updating standards and agrees they are *clear and reasonable*, the greater the chances for successful performance.

A <u>goal</u> refers to results that must be achieved or to ongoing performance criteria that must be met consistently and/or results that must be achieved in order for the employee to achieve successful performance. Goals refer to such things as the delivery of services at a specified level of quality, attendance level, accuracy rates, response times, production rates, safety thresholds, format requirements, and behavioral expectations. In order to write an effective goal for successful performance, it should be as ***s***pecific, ***m***easurable, ***a***ttainable, ***r***ealistic, and ***t***ime measured as possible ("SMART").

Goals may be set for each duty or project assigned. They may be set for activities or behaviors that apply to many assignments or projects (for example, computer work or cooperation). The important thing is that everyone who will be involved in evaluating an employee's performance is clear about which aspects of the employee's performance will be evaluated and what successful performance will look like.

V. Coaching Through Informal Evaluation and Feedback

Coaching is a term used to describe an ongoing evaluation and feedback process. It tells employees, "How am I doing?" and "Where do I go from here?" How would you like to be a member of a bowling team and go bowling every week, but only get your scored once a year? Coaching is the day-to-day effort to review work, answer questions, discuss progress (or lack of it) toward meeting standards, develop skills, and provide positive guidance.

Is the supervisor the only person who can provide coaching to an employee? Coworkers, other supervisors, and even customers can often be in a good position to compare the employee's performance to establish standards and then give helpful feedback. Such coaching opportunities can be part of planned mentoring or customer feedback process or can occur spontaneously as a result of the employee asking these people for input.

The employee can also be her or his own coach by obtaining feedback from other sources. By reviewing one's own work products, data from reports, or even videotapes (when appropriate and if available) can provide the employee an opportunity for self-evaluation and improvement.

But can't that become a lot of information to keep track of? The most effective way to track and refer to that information is to set up a "memory file." This can be as simple as a file folder. It can include notes on exceptional (positive or negative) performance or behavior by the employee. It can also include copies of exceptional documents such as letters of appreciation or of warning. By keeping a memory file on each employee, a supervisor can track an employee's performance progress as well as what coaching has been provided. Depending on how accessible and complete that file, the employee may want to set up his own memory file to ensure all key aspects of his performance are recorded.

VI. Performance Management Cycle

A. Annual Performance Review
B. Performance Planning and Setting Goals
C. Implementation of the Performance Plan
D. Progress Reviews and Coaching (throughout the year)
E. Annual Performance Review

Preparation

Employee prepares by:

A. Reviewing the job description, responsibilities and skills.
B. Assessing own performance and identifying areas for improvement.
C. Preparing specific and measurable goals.
D. Reviewing competencies for current and desirable jobs and targeting some for developing.

Supervisor prepares by:

A. Reviewing and updating job description, responsibilities and skills.
B. Assessing employees performance and identifying areas for improvement.
C. Preparing specific and measurable goals.
D. Considering advancement or enrichment opportunities.
E. Scheduling uninterrupted meeting time and giving the employee advanced notice.

The Performance Appraisal Meeting

A. Arrange a meeting place free of interruptions, distractions and phone calls.
B. Ask for the employees self-evaluation and review your evaluation of the employee.
C. Jointly, offer/suggest what would help or maintain performance.
D. Agree on a developmental plan for the coming year.
E. Get employee's commitment to improve performance and schedule the first performance review meeting.

Performance Progress Reviews

A. Meet periodically to review and update goals.
B. Provide ongoing coaching/suggestions.
C. Help employee develop relationships necessary to meet goals.
D. Run interference when necessary.
E. Provide encouragement and reinforcement

VII. Ways to Motivate Employees

! *Personally thank employees for a good job verbally and in writing (Timely, often, and sincerely).*

! *Make the time to meet with and listen to your staff.*

! *Provide specific feedback about individual, department, and organization.*

! *Strive to create an open, trusting, and fun work environment. Encourage new ideas and initiatives.*

! *Provide information on departmental and University strategy and on how the individual fits in with the overall plan.*

! *Involve employees in decisions, especially those that affect them.*

! *Provide employees with a sense of ownership in their work and the work environment.*

! *Recognize, reward, and promote people based on their performance and deal with marginal performers.*

! *Give people a chance to grow and learn new skills. Create a partnership to help them meet their goals within the context of the organization's goals.*

! *Celebrate success -- of the University, the department, and the individuals in it. Take time for team and morale building meetings and activities.*

GENERAL TIPS AND IDEAS:

! *Customize a memo*. Use the employee's first name and add your own personal touches where possible.

! *Know your employees and reward them as individuals*. For example, if the employee appreciates written praise and likes to go fishing, give them a recognition memo and a few hours off on a sunny afternoon.

! *Involve employees in the recognition process*. Ask them when they think employees should be recognized. Establish a program where they nominate one another for awards.

! *Match the reward and the achievement*. Make sure those who have completed more substantial tasks are better rewarded than those who simply had a good day.

! *Vary rewards*. After an employee has received 2-3 recognition memos, offer them a material reward of some sort.

! *Spread the wealth*. Try to recognize everyone in some way or another. Find something they are doing right that you want to reinforce.

! *Act quickly*. Recognize the employee as soon as possible following the event. Even if you're planning a more substantial reward in the future, be sure to give some verbal recognition or a quick memo right away.

! *Be as specific as possible*. Let your employee know exactly what it is that they have done right.

! *Try not to mix recognition with advice*. This might confuse the message you are sending.

! *Convey the big picture*. Describe how the effort or result contributed to a broader goal or objective.

! *Reinforce company values*. When possible point out how an employee's actions support a company value or major objective.

! *Be genuine in your tone and wording*. Try to write in the same manner that you use when speaking.

TIPS FOR WRITING TEAM MEMOS:

! *Praise everyone on the team*. Congratulate the entire team on its efforts.

! *Point out team players*. If someone has made a particularly strong contribution to the team effort, point it out.

! *Be specific in your team praise*. Mention a group of people who worked especially well together, or point out a particular result that could not have been achieved without close cooperation.

VIII. Frequently Asked Questions

Q: *What should we do about employees who become belligerent during the annual performance evaluation?*

A: Holding only one evaluation session each year may cause unnecessary anxiety for both the supervisor and the employee. There are a couple of options to consider. First, less formal monthly or quarterly feedback sessions can provide valuable input in a less stressful manner. Another option is to ask the employee to create measurable performance standards at the beginning of the evaluation period and to provide periodic progress reports.

Q: *How can an employee's cooperation skills be objectively evaluated? Isn't cooperation a highly subjective concept?*

A: Cooperation is an essential component in an effective team-based environment, but it may be difficult to measure. One option to consider is asking the employee and the employee's colleagues to document examples of the employee's efforts to build and maintain relations in order to complete projects or address problems.

Q: *It seems like some employees are not staying current in our field, and this may reduce our department's ability to be effective. Is there a way to mandate continuing education?*

A: If staying abreast of specialized knowledge is critical to solid job performance, job knowledge should be given significant weight in the evaluation process. Demonstration of new knowledge may be evaluated by satisfactory completion of academic course work, a brief written summary of the major concepts discussed during a professional conference, or a product (a manual or a new procedure) created as a result of reading in the field.

Q: *Do employees really require an annual review?*

A: Yes, the University mandates an annual evaluation. Failure to complete an annual employee evaluation may significantly reduce department flexibility with promotions, discipline and other issues.

Q: *Isn't a formal evaluation pretty pointless for truly outstanding employees?*

A: Not at all. Formal evaluation for outstanding performance can be highly motivating for high achievers. Failure to acknowledge this performance may actually result in declines for future performance.

Q: *What happens if an employee disputes the performance appraisal rating?*

A: If the dispute cannot be resolved informally, the employee may initiate a grievance.

Classifying and Grading Hourly Positions

HUMAN RESOURCES INFORMATION SERIES FOR SUPERVISORS

I. History

The reclassification project was undertaken in 1993 to update the University's position classification system. Technological advances and new responsibilities brought about by a period of substantial growth necessitated changes in many positions. The classification project provided a fresh look at every non-exempt position, creating job descriptions that could be objectively classified. Additionally, "essential functions" for each position were defined in compliance with the Americans With Disabilities Act.

To begin the reclassification project, an experienced consulting firm was selected to oversee the project. Information was collected from employees and their supervisors in order to develop standard position descriptions. Those descriptions provided employees and supervisors with a summary of the duties and responsibilities applicable to individual positions. In addition, those descriptions provided a basis upon which the relative weight of each position could be calculated.

Each position was evaluated using a standard measuring system. Two scoring systems were utilized; one for clerical and technical positions and one for security, maintenance and trades positions. The factors that were evaluated for clerical and technical positions include the following: education, experience, required independence of action, supervision received, effect of errors, contact with others, confidential data handled, type of supervision, number of employees supervised and working conditions. The security, maintenance and trades group had the following additional factors evaluated: physical demand, machinery operated, and possible damage to equipment or injury to personnel if an error is made.

The information provided on each factor was analyzed and a point score was assigned. The total number of points for each position dictated the grade level assigned to the position. Generally, positions requiring higher degrees of education and experience resulted in a higher graded position. Employees who felt that their grade level did not accurately reflect their position had an opportunity to appeal the determination. It is important to mention that meeting the criterion of one or two factors does not translate into a move to a higher grade. Rather, the "total job" and <u>all</u> of the factors associated with that job must be considered to determine the grade level. Also, the classification system focuses on analyzing the position itself and <u>not</u> the individual who may be in that position.

It is important to highlight items that do not count in the job evaluation process. Those include volume of work, efficiency of the incumbent, unusual qualifications of the incumbent, scarcity of people in the marketplace and the amount of overtime worked. These factors are related to the employee. The factors used in the grading process are related to the position, and the contribution of the position to the institution's attainment of it's overall mission is the object of all classification systems.

II. Administration of the Classification System

PURPOSE: To provide fair and equitable pay for regular, full-time and continuing part-time staff members.

THE CLASSIFICATION PROCESS: From information provided by employees and supervisors, position descriptions are developed for clerical, technical, security, maintenance, and trades employees. Based on this information, positions are evaluated using a common measuring device for either clerical/technical positions or for security/maintenance/trades positions.

Special compensable factors have been established for clerical/technical positions, as well as the maintenance, security and trades group. The information provided for each factor is analyzed and points are assigned. The total number of points dictates the grade level for each position.

THE SALARY STRUCTURE: The University maintains a salary scale that is periodically reviewed to ensure that it is competitive within the local hiring area. The current salary scale structure was developed in 1993 as part of the reclassification project and has been adjusted regularly in consultation with various salary surveys.

The minimum rate for the lowest grade was established by examining the salaries of the incumbents within that grade. A mathematical progression was used to increase the minimums of the subsequent grades. Midpoints and maximums were determined by applying a percentage distribution. Up to this point, the University has not used the midpoints or maximums in developing its salary administration plan.

HIRING PAY FOR NEW EMPLOYEES: Newly hired employees are paid at the minimum for the grade, except that candidates being considered for a position in the top two grades of each plan my be hired at a rate between the minimum and the 25th percentile of the range when warranted by the circumstances.

PAY OFFERED EMPLOYEES WHO ARE PROMOTED WITHIN THE UNIVERSITY: A transfer to a different position will not be considered a promotion unless the new position is in a higher grade level. Transfer to a higher grade will be accompanied by an increase either to the new minimum salary for that level or a 3% salary increase per grade -- whichever is greater.

Generally, transfers to lower graded level positions will not be allowed. If an exception for extenuating circumstances is granted, a salary reduction normally equivalent to 3% per grade will occur. In no case can the new salary exceed the maximum of the lower grade.

PROCEDURE FOR REVIEW OF GRADE ASSIGNMENT: An employee who feels that there has been a substantial change in the duties and responsibilities assigned to his or her position may request a review of the position through his or her supervisor.

If the supervisor and the Division Vice President concur that there has been a substantial change in the position, the request is submitted to Human Resources. Human Resources will review the position to determine whether or not a substantial change has occurred and whether that change warrants movement in grade level. To more clearly understand a position, Human Resources may observe the individual(s) performing the duties of that position and may "interview" the incumbent(s) to gather further data.

To request that a position be re-examined to determine if there is a grade change, a reclassification form (see Attachment A) must be submitted along with an updated job description (Attachment B). This same information is necessary to determine the proper grade level of a newly created position. Upon conclusion of the analysis, Human Resources will inform the Supervisor of the results of its findings. The Supervisor may then request an appeal hearing with Human Resources to review the results of the job analysis and present additional information.

IV. <u>Bold print text should appear on all job descriptions.</u>
<u>Job descriptions should be limited to one or two pages.</u>

University of Scranton
Job Description

Position Title:

Reports to:

Classification: Choose appropriate job classification:
Professional, Administration, Paraprofessional

Job Purpose:
One or two sentences summarizing the position

Primary Responsibilities:
Describe the six to ten primary responsibilities in broad terms in order of importance. Remember the most important duty is not necessarily the one that requires the most time.

Begin with action verbs and follow up, where possible, with the desired results of the action. See examples below:

1. Maintains inventory by projecting needs, _______________ analyzing discounts and tracking results.
2. Resolves discrepancies and questionable charges by corresponding with and telephoning vendors.

Qualifications:

<u>Education:</u>

<u>Experience:</u>

<u>Required knowledge, skills, and abilities:</u>

An * indicates essential function as defined by the Americans with Disabilites Act.

Please refer to the attached information on ADA identification of responsibilities.

________________	________________	________________
Date Revised	Initials of incumbent	Initials of Supervisor

V. The ADA and Essential Functions

Under the Americans with Disabilities Act (ADA), an individual with a disability may be considered qualified if he/she can perform the essential functions of a job with or without reasonable accommodations. The ADA provides no guidance on what constitutes essential functions except to say that essential means job tasks that are fundamental and not marginal.

The ADA does not require that an employer maintain job descriptions. Rather, they can be developed at the employer's discretion. Written job descriptions are, however, relevant evidence as to those duties that are essential to an employees' job. Since we do maintain job descriptions, here at the university for all professional and administrative positions, it is vital that we identify essential components for each position within these classifications.

Essential functions may be termed essential because:

-- the reason the position exists is to perform them

-- there are limited employees available among whom that function can be distributed

-- the function is so highly specialized that the incumbent is hired for his/her specific experience or ability

Other questions to consider are:

-- Would removing this function from the job description fundamentally alter the position?

-- Does the incumbent spend a significant portion of his or her workday or work week performing this function?

-- Would failure to perform this function bear significant consequences?

If the answer to these questions is yes, the duty is an essential function. Generally if an individual "contributes" or "assists" in a particular area, chances are that function is non-essential since these terms suggest that someone other than this person is responsible for that particular function.

Please review your job description and place an * before each duty that you feel meets the essential function definition described above.