



# Human Resources Basics

Department of Medicine

Intro to Research Course – Fall 2016



## Introduction

- ▶ Presenting:
  - Patrick Hanson & Jena Yohann, HR Assistants (contacts for staff and student recruitments)
  
- ▶ Other HR Staff
  - Amy Pritchard (faculty recruitments, Visas, EIT, discipline issues)
  - Terri Dolphin (faculty promotions coordinator)
  - Amy Alston (assistant for faculty promotions & appointments)
  - Gina Hutzler and Becky Bush (payroll & benefits, student hourlies)

## Presentation Outline:

- ▶ I. Recruitment and Selection
  - What is a PVL?
  - How do I recruit and interview staff?
  
- ▶ II. Performance Management
  - What are my responsibilities as a supervisor?
  - How should I measure employee performance?
  - What do I do if someone is not performing as they should be?



## Pre-Recruitment

### What type of position matches your needs?

#### UW Employment Categories:

- ▶ **Faculty** – professors, instructors (multiple university tracks)
- ▶ **Academic Staff** – professional positions, tied to academic mission (scientist, research specialist, program manager)
- ▶ **University Staff** – staff positions, not unique to academic mission (admin support, HR, finance/accounting)
- ▶ **Temporary Employee** – flexible, hourly position with University Staff-type duties; limited duration and # of hours
- ▶ **Employee-In-Training** – post-grad (post-doc trainee/fellow, research associate, research intern)
- ▶ **Student Assistant** – graduate students; work intended to further their education (Research Assistant, Project Asst., TA, pre-doc Fellow/Trainee); often includes tuition remission & benefits
- ▶ **Student Hourly** – hourly employment for students, part-time and may be temporary

## Position Vacancy Listing (PVL)

- ▶ PVL is a job description for any Faculty or Academic Staff position
  - It describes job duties, knowledge/skills required, and general terms of the appointment
- ▶ University Staff equivalent commonly referred to as a “cert”
  - Different format – more emphasis on spelling out the duties involved

## Pre-Recruitment (continued)

- ▶ Most hires (except students & post-docs) require SMPH approval to get started
- ▶ Step 1: Plan position (work with your DA and HR)
  - Justification for creating/filling the position
  - Funding
  - Space
  - Appointment Terms (FTE, duration, etc.)
  - Job description (duties, qualifications, etc.)
  - Screening Criteria
- ▶ Step 2: Get approval
  - DOM HR will help facilitate SMPH approval and ensure position is written to meet your needs



## Pre-Recruitment (continued)

### ▶ Approval Workflow

- (1) Division/Department
- (2) SMPH Position Request  
(reviewed by Finance, Facilities, HR)
- (3) SMPH PVL review/approval
- (4) Campus approval of PVL/posting  
(review includes OHR units and OED)



## Recruitment – Screening

- ▶ Must develop job-related screening criteria before approval for posting
  - Use the PVL/Cert as your guide.
  - Candidate selected must meet ALL required qualifications in the approved posting.
  - Ensure criteria can be objectively determined from written sources (cover letter, resume/CV)
  - Can use include primary/secondary criteria depending on size/quality of applicant pool

Don't make up rules as you go along – think ahead to what you want and let that be the guide.

## Recruitment – Posting Periods

- ▶ Open Recruitment Posting Periods:
  - **Faculty:** minimum 2 month posting period
  - **Academic/University Staff:**
    - Min. 2 or 4 week posting period (depends on max. salary)
    - Reposting required for significant changes
- ▶ Everyone who applies during posting period must be given full consideration
  - Consideration does not necessarily = interview
- ▶ Offers to hire may ***NOT*** be made until ***after*** posting period deadline has passed

## Recruitment – Advertising

- ▶ All faculty/staff positions:
  - Posted on UW website (<http://jobs.wisc.edu>)
  - External websites automatically pull UW listings
  - Other advertising cannot be run until the position is approved and posted
  - Certain information may be required in your ads – work with HR to prepare them
- ▶ UW has developed “Recruitment Toolkit”
  - Assists in all stages of the process and includes advertising agreements negotiated by the UW  
<https://recruitment.wisc.edu>

## TREMS Applicant Tracking System

- ▶ Applicants for staff positions **MUST** apply online through the UW website
  - HR will manage applications and facilitate sharing with you as part of screening process
  
- ▶ Allows flexibility in application formats (CV/cover letter, work history, etc.)
  
- ▶ Includes tools for interview scheduling, communications, and checking references

## Recruitment – Screening (continued)

- ▶ Selecting candidates for interview
  - Apply your criteria to all applicants.
  - Phone interviews can be part of initial screen – gather additional info to narrow down to top group.
  - Document your decision making!
  
- ▶ Search Committees
  - Add depth to your assessment by involving people from various areas/groups the position interacts with.
  - Can help minimize unintentional biases, particularly when search committee membership is diverse.

## Recruitment – Interviewing

- ▶ Interviewers must be knowledgeable about the position & appropriate interview practices
- ▶ Affirmative Action Goals – provide equal opportunity to individuals regardless of gender, race, age, disability, etc.
  - ▶ During the recruitment process, you represent not only your Division, but also the DOM, the SMPH, and the University.

## Recruitment – Interviewing

(continued)

- ▶ Develop an interview questionnaire/guide & **ask all candidates the same questions**
  - Follow-up questions may vary depending on the candidates' responses.
  - Use PVL as a guide to develop job-related questions.
- ▶ To inquire about employment eligibility, ask canned question: Are you legally authorized to work in the U.S?
  - If no, you may ask: What is your immigration status?
  - If yes, ask: Will you now or in the future require sponsorship for an employment visa?

## Recruitment – Interviewing

(continued)

- ▶ **Interview questions**--make sure your questions are effective and legal
  - Ask only questions that are job related
  - **DO NOT** ask any questions regarding protected characteristics: race, color, national origin, religion, sex/gender, age (over 40), physical disability (including pregnancy, AIDS, addiction), genetic conditions, marital status, sexual orientation, etc.
  - If a candidate volunteers information about any of these areas, **do not** probe for more and **do not** include it on your evaluation and/or interview notes or use as a basis for your selection.

## Recruitment – Interviewing

(continued)

- ▶ The “interview” begins as soon as the candidate walks in the door, and does not end until she/he leaves. This includes informal sections of the interview (i.e. greeting, meals/travel, conclusion).
- ▶ Do not ask questions that would not be permissible during the formal interview.





## Recruitment – Interviewing

(continued)



- ▶ Take **accurate notes** during the interview, note actual responses.
- ▶ Investigate any **gaps in employment**.
- ▶ **Do not make future promises**, even if you are only talking in terms of possibilities
  - Future promotions, pay increases, career progression, and/or continuing employment.

## Recruitment – Interviewing

(continued)

- ▶ Avoid these **pitfalls**:
  - *Contrast effect*: evaluating a candidate relative to other individuals rather than the job
  - *First impression*: making an initial favorable or unfavorable judgment due to subjective, outside appearances
  - *Halo effect*: allowing one aspect about a person (e.g., prestigious degree/school) to influence your perception of his/her other qualifications
  - *Similar-to-me*: judging candidates more favorably who are similar to you in attitude, personal characteristics, background, etc.

## Recruitment – Interviewing

(continued)

- ▶ Base your **hiring decisions** on job-related criteria only; refer to your interview notes and evaluation form; don't invent new criteria to support subjective preferences.
- ▶ **Never** make a hiring decision based on a protected characteristic--race, gender, religion, disability, age, etc.
- ▶ **Document** your hiring decision with legitimate reasons for every decision.

## Recruitment – References

- ▶ Always check references before making offer
- ▶ Specifically ask for supervisory references – allow time for candidate to give heads-up
- ▶ Purposes:
  - 1) Confirm candidate's work history/duties
  - 2) Gain perspective from former supervisors
  - 3) Identify red flags
- ▶ What to look for:
  - Do responses match self-assessment?
  - Notable patterns and/or inconsistencies
- ▶ *Do NOT ask about protected characteristics!*

## Recruitment – Selection

- ▶ Contact your HR rep once you have made a hiring decision
  - Negotiate the offer (salary, start date, etc.)
  - Complete pre-hire criminal background check
  - HR will draft offer letter (candidate accepts online)
  - International faculty/staff may need work authorization – takes additional processing time.

## Recruitment – Records

- ▶ Retain all records related to the recruitment and selection process for 6 years
  - May be scanned onto a shared drive within your work area that is backed up by a network DOM server (still kept for 6 years)



## Recruitment – Timeline



- ▶ PVL approval (1–2 weeks)
- ▶ PVL posting/advertising (2 week minimum)
- ▶ Interviewing and Selection (3–5 days?: can vary widely among recruitments)
- ▶ Criminal background check approval (2–5 days)
- ▶ HR needs **1–2 weeks** from completion of background check to start date

## On-Boarding & Orientation



- ▶ An effective orientation is crucial to new employee's initial success
- ▶ New Employee Orientation is held every Wed.
- ▶ Be aware of deadlines! Some in first week of employment
  - Compliance issues
  - Employee benefits deadlines



## On-Boarding & Orientation

(continued)

- ▶ Manager's responsibilities:
  - Set goals, objectives, work expectations (may need to document)
  - Ensure employee has resources to do their job
  - Introduction to work area, co-workers, safety rules, policies and procedures, etc.
  
- ▶ May need to assign "Peer Partner" as supplement to manager



## Performance Management

- ▶ UW-Madison outlines four key components:
  - Initial Expectations & Goal Setting (within 30 days)
  - Mid-Point Evaluation (6 months)
  - Final Summary Evaluation (12 months)
  - Informal Conversations (throughout)
  
- ▶ First three steps above must be documented
- ▶ Leads into similar ongoing process for long-term employees
- ▶ Added steps may be needed if issues arise

## Performance Management



- ▶ Supervisor Responsibilities:
  - Complete documented evaluations on time as required
  - Provide timely, informal feedback and keep two-way lines of communication with employees open (no surprises!)
  - Pay attention to initial evaluation/probation period
  - Document successes and areas for improvement and **do it frequently**
  - Look forward to participating in the process!
- ▶ Employee Responsibilities:
  - Work to achieve agreed-upon goals and expectations
  - Be an active participant in the process!

## Performance Management: Unsatisfactory Performance



Investigate possible performance obstacles

- ▶ Does the person know **how** and **what** to do and **why** he/she should do it?
- ▶ Does the person know the level of priority?
- ▶ Are there positive or negative consequences for good performance?
- ▶ Are there negative (or positive) consequences for non-performance?
- ▶ Has he/she received adequate feedback?
- ▶ Are there obstacles beyond their control?

**\*\*Work with HR to plan a strategy to address issues within UW guidelines\*\***

## Performance Management: Unsatisfactory Performance (continued)

- ▶ Are they unable to perform the job due to their personal limitations?
- ▶ Do they have personal issues?
  - Concentrate on work performance
  - Refer to UW Employee Assistance Program (EAP): [www.eao.wisc.edu](http://www.eao.wisc.edu)
  - Family Medical Leave Act (FMLA)
  - Unplanned absence: emergency related time off – supervisor’s response a priority
  - Planned absence: personal time off – requires advance notice – supervisor’s discretion
  - Emotional issues: listen but be aware of playing amateur Counselor – refer to EAP
  - Accommodations (ADA) UW Office of Equity & Diversity [www.oed.wisc.edu](http://www.oed.wisc.edu)

## Performance Management: Unsatisfactory Performance (continued)

- Can you (the supervisor) answer “yes” to the following questions?
- ▶ Did I do everything I could to solve this problem?
  - ▶ Does the employee know exactly what is expected of him/her?
  - ▶ Does he/she know how to do the job properly?
  - ▶ Are there any obstacles in the way?
  - ▶ Is he/she recognized appropriately when performing as expected?
  - ▶ Have I told him/her how well or poorly they are doing?
  - ▶ Can the responsibilities and expectations I have for this job be done by an average person with typical training?

## Performance Management: Unsatisfactory Performance (continued)



- ▶ Involve HR
- ▶ There are specific documentation, notice, and timing requirements in order to end an employment relationship (depends on the type of appointment and the reason for the separation)
- ▶ “Just Cause” for discipline and dismissal

## Conclusion

- ▶ Questions or comments?

