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)
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?
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.

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!

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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)

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?