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**SUPERVISORY
ORIENTATION**

PURPOSE

- DEFINE THE KEY DUTIES OF A SUPERVISOR
- DISCUSS THE SUPERVISOR'S ROLE IN HR RELATED PROCESSES
- DEFINE HR'S ROLE IN PROVIDING SUPPORT TO SUPERVISORS AND EMPLOYEES
- IDENTIFY KEY RESOURCES

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Definitions

- SUPERVISOR - 3 VSA 902(16).
"An individual finally determined by the board as having authority in the interest of the employer to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline other employees."
- MANAGER- 3 VSA 902 (18)
"An exempt or classified position which requires him/her to function as an agency, department, or institution head, a major program or division director, a major section chief, or director of a district operation."

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KEY ROLES

- Establish and manage strategic work priorities aligned with overall mission of the department/agency.
- Represent both employee and management perspectives.
- Foster a respectful work environment and culture.
- Establish, communicate and monitor employee expectations and performance.
- Guide and support individuals in current jobs and career progression.
- Ensure compliance with work rules, policies and employment laws.

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Core Knowledge Requirements

What a Supervisor Must Know

- Pertinent Collective Bargaining Agreement articles.
- Pertinent Personnel policies and procedures.
- Work rules specific to their division and or department.
- Resources available to supervisors in providing assistance with performing supervisory duties.

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Human Resources Support

HR Field Operations Division

- Comprised of units who support assigned agencies/departments.
- Units are staffed by an HR Manager and a team of HR Administrators.
- Provide direct front line support to supervisors and employees on all HR related topics.
- Act as liaisons between supervisors/employees and DHR Central staff.

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Human Resources Support

DHR Central Office

- Centralized program management: Benefits; HRIS; Labor Relations; Classification & Position Management; Compensation; Recruitment; Workforce Development & Wellness.
- Consultative Services: "Contracts" interpretation and implementation; state and federal employment law guidance; recruitment strategies; training programs; succession planning; etc...

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CLASSIFICATION

- System of identifying and describing the different kinds of work within an organization.
- Grouping of similar positions under common classification titles.
- Establishes the orderly grouping of an organization's positions.
- Based on job content rather than on individual qualifications or how well an employee can perform the duties of a job.

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Classification

RFR (Request for Review Form)

When necessary

- Significant changes in duties or responsibilities.
- Significant change in job knowledge and skill requirements.
- Entirely new area of knowledge or responsibility required.
- New position is being created.
- A vacancy is being reassigned.

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Classification

RFR Process

- Complete applicable RFR form. RFR A form is most commonly used.
- Must be signed by supervisor ,appointing authority and employee.
- Forwarded to HR Administrator for signature and distribution to DHR Classification.
- RFR form is reviewed either by Classification Analyst, or by department/agency committee.
- Classification notifies the HR Administrator of the result, which is then forwarded to the Employee and Supervisor.

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**WAGE AND SALARY
ADMINISTRATION**

Pay Plans

- Classified Bargaining Units
- Executive Branch Temp Employees
- Vermont State Police
- Vermont State Police Lieutenants
- Some categories of Exempt employees

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Wage and Salary Administration

- **Classified Pay Plan**
 - Compensation determined by position's pay grade and employee's step level.
 - Step advancement within salary range based on longevity and satisfactory performance.
 - Merit increases may be granted for exceptional performance.
 - Movement within the classified pay plan is possible when employees accept promotions, demotions, or changes in the pay grade assignment through reallocations or reassignment actions.

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Wage and Salary Administration

- **Probationary Employees**
 - Employees in the classified service advance from Step 1 to Step 2 on completion of their original probationary period.
 - Employees must successfully complete any required original (usually six months) in order to achieve tenured status at that salary level.

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Wage and Salary Administration

Supervisor's Considerations

- Rates of pay for prospective employees should be reviewed first with an HR Administrator.
- A Hire-Into-Range request process must be reviewed with an HR Administrator, and processed through DHR.
- Merit increases can only be rewarded if the applicable policies of an agency/department, and those of DHR are met.

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RECRUITMENT

- Preparation
- Interview
- Selection
- Documentation

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Recruitment

Preparation Phase

Before the recruitment process can begin, supervisors must:

- Ensure compliance with agency/department's recruitment approval process.
- Contact assigned HR Administrator.
- Decide whether the position will remain unchanged, or whether a fundamental duty(ies) and/or condition(s) will change.

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Recruitment

Preparation Phase

HR Administrator will:

- Ensure that supervisor follows the appropriate process based on the nature of the vacancy.
- Assist with developing recruitment strategy.
- Coordinate communication and exchange of materials between DHR Recruitment and supervisor.
- Provide supervisor with process and/or interviewing training if needed.
- Inform supervisor as to whether or not you have a mandatory interview required.

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Recruitment

Interview Process

- Panel Interviews are preferred.
- List of questions prepared in advance.
- Rating guide used to evaluate answers.
- Questions should comply with all employment law requirements and best practices.

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Recruitment

Selection Process

- Review interview notes and scores.
- Check references.
- Ensure that "Tax Compliance" form has been completed and submitted.
- If applicable, ensure that criminal background checks have been completed and submitted.
- Verify salary particulars with HR Administrator.
- Forward Applicant to HR Administrator for Job Offer once all conditions have been met.

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Recruitment

VTHR Documentation

- Document interview status of candidates.
- "Forward Applicant"
- Notify all applicants who made the "Qualified Candidate List", but were not interviewed.
- Once Offer accepted, notify candidates who were interviewed, but not selected.
 - VTHR provides a record of the communication.
 - You can also inform interviewees of the final decision by phone
 - Contact notes are also available in VTHR.

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Recruitment

Post Job Offer

- Retain interview notes and score sheets for 3 years.
- Supervisor communicates the hiring to members of the work unit and/or department, and to key business partners.
- Supervisor begins coordinating new hire logistics.

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New Hires

Supervisor's Duties-Prior to new hire's first day

- Coordinate logistics: office space; phone line; computer; supplies; ID badge; business cards; uniforms etc...
- Coordinate date/time with the HR Administrator for the employee's new employee orientation.
- Have job description, work plan, and performance expectations documented and prepared for review.
- Have pertinent policies, work rules, and safety regulations prepared for review.
- Meetings scheduled for first week with key partners.

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New Hires

HR's Duties

- Conduct the HR New Employee Orientation.
- Topics covered during the orientation: education on benefits programs; review and distribution of select Personnel policies and procedures; benefits and payroll related enrollment forms.

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PERFORMANCE MANAGEMENT

Definition

"The process of planning, observation, evaluation, and development of employee job performance."

Purpose

- Develop performance goals and standards.
- Define or re-define functions of a job.
- Monitor and evaluate performance.
- Workforce and career development planning.
- Employer's goals and missions are emphasized.

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Performance Evaluations

When are Evaluations Written?

- **Original Probation**
 - Completion of Original Probationary Period.
- **Annual**
 - Completed yearly at anniversary date of completion of original probation.
- **Special Circumstances**
 - Warning, Period of Prescriptive Remediation, promotion, separation.

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Performance Evaluations

Process

- Review is completed and conference held within 45 days of review date.
- Forwarded to "Reviewer" and "Appointing Authority" for signature.
- Hold performance conference.
- Provide copy to employee.
- Original with all signatures forwarded to HR to be placed in employee's official personnel file.

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Performance Evaluations

Important Considerations

- Meeting to present evaluation shall be held within 45 days of the anniversary date.
- If presented after 45 days, the employee receives a presumptive rating, and the evaluation is regarded as written feedback.
- A special evaluation may be used at any time except it shall not be used as a late annual evaluation.
- Official "Performance Evaluation Report" form must be used.

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Rewards and Recognition

- Department/Agency specific programs must be approved by DHR.
- Primary forms of recognition:
 - *Non-Recurring Bonus*: Lump sum or cash-equivalent awards granted on a one-time basis that do not alter the current hourly rates of employees.
 - *Merit Step Increase*: Permanent adjustments to salary that advance the step level of the employee by one or two steps.
- Departments may implement their forms of rewards, provided that their program has been approved by DHR.

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LABOR RELATIONS

- Collective Bargaining.
- "Contracts" provisions, personnel policies, and work rules development, interpretation, and application.
- State and federal employment law interpretation and implementation.
- Disciplinary processes: misconduct and performance.
- Labor/management relations and communications.

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Discipline

Definition

"Discipline in employment is a systematic method intended to train or correct an employee whose performance or behavior is deficient."

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Discipline

Performance vs. Misconduct

- **Performance:** Generally considered to be those instances where an employee has failed, because of a lack of ability or a shortcoming of judgment, to perform the job to the satisfaction of the employer
- **Misconduct:** Is committed when an employee has not complied with the rules of the work place.

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Discipline

Right to Representation: Supervisors must inform bargaining unit employees of their right to request the presence of a VSEA representative for certain proceedings, such as when:

- The employee is required by a supervisor or management to give oral or written statements on an issue involving the employee, which may lead to discipline against the employee
- Whenever an employee is called to a meeting with management where discipline is to be imposed on the employee.

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Discipline

Criminal Activity

- Where an employee is suspected of violating the criminal law, legal counsel, HR Manager, DHR Labor Relations and law enforcement personnel should be contacted before an employment investigation is initiated.

Garrity Warning

- Employees may assert that they have a Constitutional Fifth Amendment right not to answer questions in an employment investigation which may tend to incriminate them in criminal activity.

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Discipline

Progressive Discipline/Misconduct

1. Supervisory Feedback.
2. Oral Warning.
3. Written Warning.
4. Suspension Without Pay.
5. Termination.

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Discipline

Progressive Discipline/Performance

1. Feedback, oral or written.
2. Written performance evaluation, special or annual, with a specified prescriptive period for remediation specified therein, normally 3 to 6 months.
3. Warning period of thirty (30) days to three (3) months, extendable for a period of up to six (6) months.
4. Dismissal.

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Labor Relations

Discipline

- **Just Cause:** Notice and Reasonableness
- **Uniformity and Consistency of Discipline:** The contract provides that the State will "apply discipline or corrective action with a view toward uniformity and consistency."
- **Timeliness of Discipline:** The contract also provides that the State will "act promptly to impose discipline or corrective action within a reasonable time of the offense."

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Discipline

- **Grievance**
"An employee, group of employees', or the employee's collective bargaining representative's expressed dissatisfaction, presented in writing, with aspects of employment or working conditions under a collective bargaining agreement or the discriminatory application of a rule or regulation."
- **Process**
Step I – Immediate Supervisor
Step II – Appointing Authority
Step III – Department of Human Resources
Step IV – Labor Relations Board
- **Due Process-Loudermill Meeting:** Required when termination is being contemplated.

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LEAVE MANAGEMENT

Time off provisions, both paid and unpaid, are controlled by collective bargaining and state/federal law.

This includes:

- Annual leave
- Sick Leave
- Family/Parental/Medical Leave
- Absence due to job-related injury/illness

Confidentiality of an employee's medical information must be strictly observed.

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Annual Leave

- During the first 6 months of employment, annual leave credits are not accumulated and may not be used.
- Temporary employees and individuals performing services under contract do not earn annual leave.
- Leave must be requested in advance by the employee and is subject to approval by the supervisor. Such approval shall not, however, be unreasonably withheld.

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Sick Leave

- Paid authorized absence from duty due to employee's illness, injury or quarantine; for his or her medical or dental appointments which cannot reasonably be made outside of working hours; or for death or illness in the employee's immediate family.
- Sick leave benefits may not be used by employees prior to being credited to their accounts.
- Temporary employees and individuals performing services under contract do not earn sick leave.

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Sick Leave

Employee's Responsibilities

- Give their supervisors advance notice of absence due to illness if employees have advance knowledge of required treatment.
- Notify their supervisors no later than the first hour of the beginning of the scheduled workday, if possible, of their inability to report to work, and the nature of the illness.
- Notify their supervisors as soon as possible when time off from work is necessitated by a family emergency or illness.
- Obtain a physician's certificate as verification of their illness, if requested by supervisors.

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Sick Leave

Supervisor's Responsibilities

- ✓ Advise new employees of the sick leave provisions of the contract and applicable Personnel Policy (14.1).
- ✓ In the instance of extended illness, keep informed as to employees' physical condition and anticipated date of return to work.
- ✓ Ensure that sick leave is not misused, and if necessary, require submission of evidence as to the necessity for the leave.
- ✓ Ensure that the provisions of the sick leave article of the contract are observed in their agency or department.
- ✓ Report the use of sick leave on the time sheet.

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Family and Medical Leave

- **FMLA:** Will be applied to qualifying absences
- **Family Leave:** Leave of absence from employment by an employee in the case of serious illness of the employee's immediate family.
 - 12 weeks
- **Parental Leave:** Leave of absence from employment for the birth of an employee's child; or for the initial placement of a child 16 years of age or younger with the employee for the purpose of adoption.
 - 16 weeks; may be extended to 6 months

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Family and Medical Leave

Employee Responsibilities

- Employees are responsible for requesting leave from their supervisors with as much advance notice as possible.
- Employees are required to give reasonable advance notice (at least 2 weeks) in the event of a foreseeable leave.
- Provide medical certification.
- Use the correct Time Reporting Codes for FML.

Supervisor's Responsibilities

- Notify HR Administrator that employee has requested FML. HR Administrator will designate the leave.

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Workers' Compensation

What is it?

- "No-fault" insurance that provides medical and disability benefits for injury/illness, disability, or death that happens in the course of employment.'

Supervisor's Responsibilities

- Ensure that the "First Report of Injury Form" is completed.
- Consult with HR Administrator on time sheet coding and employee communication processes.

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HOURS OF WORK

Work Shift

- The standard State work day begins at 7:45 a.m. and ends at 4:30 p.m. and includes a 45 minute lunch period.
- Most employees are required to take at least a 30 minute lunch period.
- Supervisors must inform an HR Administrator prior to the establishment of a new shift or workweek that is different from any existing one.

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HOURS OF WORK

Alternate Work Schedules:

- A schedule that differs from the core schedule assigned to a position.
- Appointing Authority must approve of the use of an existing alternate work schedule.
- Schedule changes may impact overtime category and work group designation.
- Newly created alternate work schedules must be approved by DHR and agreed upon the VSEA.

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HOURS OF WORK

Breaks

- Breaks are a privilege that management extends to employees, and not a right that they have to take them.
- The State of Vermont has no formal policy regarding rest breaks.
- Each full-time State employee must take a minimum 30 minute unpaid lunch break daily, with the exception of some employees of the Departments of Corrections, Public Safety, and Military.

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HOURS OF WORK

Overtime

- Overtime work for all employees will be held to a minimum.
- Determining the needs for overtime work, scheduling the hours overtime shall be worked, and requiring overtime work are exclusively employer's rights.
- Except in emergency or crisis situations, employees who are on annual leave, personal leave, or compensatory time off shall be the last to be required to work overtime.
- Employees shall be given 2 weeks' notice of scheduled overtime except in emergency situations where the employer shall give the maximum notice practical under the circumstances.

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HOURS OF WORK

Overtime Compensation

- Classified employees will be compensated for all hours worked in excess of the normal working hours according to their assigned overtime category.
- Employees who are entitled to receive either cash or compensatory time for overtime worked will be paid in cash unless compensatory time is specifically requested.
- Employees wishing to use compensatory time must make a request in advance to their supervisor.

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Employee Records

Official Employee Personnel File

Contains: copy of the employee's job application for the current position; copy of the employee's current job description; **originals** of all valid performance evaluations; a copy of each personnel action form; copy of any reprimands and warnings, suspensions, or performance discipline; written records of discussions shared with employees regarding performance deficiencies; documents relating to corrective action or disciplinary action; copy of any other official documents.

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Employee Records

Supervisors Files

- *Should contain:* examples of employee's work; notes on performance accomplishments; training documents; copies of disciplinary records; job description/RFR; individual development plan.
- *Should not contain:* medical documents; original copies of documents related to disciplinary actions; originals of performance evaluation report; any documents with information qualifying as confidential in nature (SS #, DOB etc..)

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RESOURCES FOR SUPERVISORS

Miscellaneous

- Employee Assistance Program
- Internal State Resources:
 - BGS Workplace Safety
 - BGS Workers Compensation
 - BGS Office of State Security Programs
 - Department of Health
 - Attorney General's Office

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RESOURCES FOR SUPERVISORS

The Summit Center

- Supervisory Development Program.
- Consultative services.
- Online training courses and programs.
- Workforce planning toolkit.
- Wellness.
- Training materials library.

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RESOURCES FOR SUPERVISORS

Department of Human Resources

- Field Staff - HR Administrators and HR Managers.
- DHR Central Office Staff.
- DHR Website
- ❖ Links to: Personnel Policies and Procedures Manual; Collective Bargaining Agreements; Training Resources; Benefits Plans; Employee Self Service; Pay Charts; Holiday Schedule; Workforce Reports; Forms and Documents; etc...
