SUPERVISOR KNOWLEDGE DEVELOPMENT ASSESSMENT: Personnel Policies & Practice

Introduction

Human Resources policies and practices are complex. Knowing the right thing to do to ensure compliance with campus and regulatory policies can be challenging. There are many resources on hand to help you both in VCRE and across campus. Your HR partners are extremely knowledgeable and ready to help whenever you have a question.

The goal of this assessment is to identify your current knowledge of HR policies and practices—both strengths and areas where you need additional information or training.

Ultimately, it is aimed at helping you become a more knowledgeable, capable, and confident supervisor. After you complete this assessment, you will meet with your manager to discuss your results and develop a plan to enhance your understanding of content areas that need development.

Though it may look like one, this is NOT a test. It is NOT connected to your performance plan. It is an opportunity to assess your strengths and knowledge gaps. In addition to your HR partners, there are many resources on campus to help you round out your understanding of HR policies and practices—training, online information, communications. The development plan you work on with your manager will connect you to these resources.

Relax, take your time, and don’t worry if you don’t know the answer (correct answers are provided and explained).
Compensation and Classification

1. Leslie is a Parking and Transportation supervisor. She is overloaded because she has taken on several new staff members as a result of a recent restructuring. In addition to managing her growing staff, Leslie is managing a critical project. She has not had much time to devote to the project. Leslie asks Grant, a represented employee who is currently her administrative assistant and who has the skills and knowledge to manage the project, to assume her role as project manager. Is Leslie following the correct procedure? Select all that apply.
   a) No. Before assigning work, Leslie should create a new job description or revise the current one, outlining the additional work she would like Grant to do, including the % of time, and consult with her HR partner.
   b) No. Leslie should review Grant’s current job description to determine if the additional duties may be covered before asking him to take on additional work.
   c) No. Leslie should look at Grant’s workload to see if overtime will be needed or, if overtime may not be offered, if some of his duties can be shifted to others.
   d) No, she should refer to Grant’s contract to find out what it says about temporarily assigning employees to higher classified positions.

2. Bud is a building maintenance supervisor. The plumbing in one of the buildings he manages is backed up and no plumbers are available to fix it. Dan, a building maintenance worker, has the skills to fix the problem and can be sent over to the building immediately. Bud asks Dan to repair the plumbing. Is Bud following the correct procedure? Select all that apply.
   a) Yes, this is an emergency.
   b) Yes, as long as he informs the union of his action.
   c) No. Bud cannot assign a building maintenance worker trades work.
   d) No. Bud should call Facilities Call Center, identify the problem, and ask for a list of emergency or contract plumbers.

3. When considering reclassifying a position to a higher level, Compensation Consultants in HR consider:
   a) Longevity of the incumbent position.
   b) Reporting relationships.
   c) Scope of responsibility currently being performed.
   d) b and c.
   e) All of the above.

4. What are the steps in classifying or reclassifying a position? Select all that apply.
   a) Create or revise job description.
   b) Get manager’s approval for new position or reclassification, including agreement for position funding.
   c) Work with HR partner to discuss potential classification or reclassification.
   d) Submit job description to HR partner for review. HR partner coordinates with Compensation for final review.
5. The Compensation Unit approves or denies reclassifications.
   *True or False*

6. Salary range adjustments for represented staff in step-based ranges are determined by agreements with the unions who represent these positions.
   *True or False*

7. Personal Policies for Staff Members (PPSM) are system-wide policies issued by the University of California Office of the President (UCOP) and apply to all employees on UC campuses.
   *True or False*

Recruitment and Hiring

8. Steve is supervising a unit that has undergone a great deal of change in the last year. He has hired several new employees and moved some of his existing employees to new assignments. Unfortunately, two of the new hires are not right for the job, and many of the staff members who were moved to new jobs can't adapt to the change. This is really hurting productivity and morale. What are probable causes of this problem? Choose the best response.
   a) The job descriptions and selection criteria did not outline a clear and specific set of requirements and competencies.
   b) He didn’t have a diverse search committee, comprising people who understand what it takes to do the job well and who are key stakeholders or customers.
   c) Steve didn’t use a structured interview approach that asks each candidate a predetermined set of questions based on the requirements of the job.
   d) All of the above.

9. Jose, a maintenance supervisor, needs to fill an open position in his department. He is interviewing Dona, a final candidate, who meets the qualifications for the job and seems highly motivated. Jose outlines the requirements of the job, including heavy lifting and moving (26-50 pounds for 1-2 hours at a time). He asks her, “Can you fulfill the essential functions of the job with or without accommodations?” Is this an acceptable interview question?
   a) No, it discriminates against Dona.
   b) Yes, outlining job requirements with a final candidate is appropriate.
   c) No, he is violating EEOC regulations.
   d) Yes, but if Jose is uncertain of Dona's ability, he should ask her to demonstrate her ability to lift and move 26-50 pounds.
10. The critical and initial steps in the recruitment process for a new position are: (Select all that apply.)
   a) Analyze the job requirements and update as needed.
   b) Build a thorough job description.
   c) Select a diverse search committee of 3-8 key stakeholders.
   d) Create a department overview that appeals to the target candidate pool.

11. A Special Placement Candidate (SPC) is:
   a) Someone with a disability.
   b) A job candidate referred by a faculty member.
   c) Someone laid off from UC who has elected preferential rehire rights instead of severance.
   d) A candidate with special restrictions, such as only working part-time.
   e) None of the above.

12. When interviewing candidates for a position, you should: (Select all that apply.)
   a) Ask all applicants the same questions.
   b) Ask predominately behavioral-based questions.
   c) Ask candidates about accomplishments in current and past jobs.
   d) Establish rapport.

13. Before recruiting and interviewing, you should first review the campus affirmative action goals for the job openings.
   True or False

14. The purpose of Equal Employment Opportunity (EEO) is to provide equal access to all available jobs, training, and promotional opportunities.
   True or False

Payroll and Timekeeping

15. This month is a particularly busy month for Sabrina’s department. All of the offices in the buildings she maintains are scheduled for thorough cleanings. To get the job done, she needs to ask several custodians to work overtime. Sabrina consults the labor agreement and follows the steps outlined. Has Sabrina followed the correct procedure? Choose the best response.
   a) Yes, Sabrina should follow the steps in the employees’ contract.
   b) Yes, but she should notify the union before assigning the extra work.
   c) After the busy period, she should notify the union of the extra hours worked.
   d) None of the above.
16. Jason informs Margarita, his supervisor, that he will be leaving his job in two weeks. What should she do to ensure that Jason is paid accurately on his final date of work? Select all that apply.
   a) As the supervisor, Margarita should calculate sick leave and accrued vacation herself and coordinate the final paycheck with Payroll.
   b) Coordinate with HR to have Jason complete his timecard before due date so he can be paid for his last two weeks.
   c) Confirm resignation in writing and submit to HR, who will coordinate timesheet calculation.

17. When Karen received her paycheck, she realized she had been paid for hours she hadn’t worked. Karen reported this overpayment to her supervisor, Andy. What should he do? Select all that apply.
   a) Andy should advise Karen to wait and see if she receives communication from HR about the overpayment before taking any action.
   b) Andy should check the CalTime system to see if the hours Karen worked were recorded and approved correctly in CalTime.
   c) Andy should submit a ticket to CSS HR as soon as possible to notify the timekeepers of the issue.

18. Lloyd didn't receive his paycheck on payday. He reported this issue to his supervisor, Betty. What should Betty do? Select all that apply.
   a) Betty should check the CalTime system to see if the hours on Lloyd's timecard are accurate, and to check if she approved Lloyd's timecard on time.
   b) Betty should advise Lloyd to wait for the next payday for a double paycheck.
   c) Betty should submit a ticket to CSS HR as soon as possible to notify the timekeepers of the issue.

19. When Cheryl received her paycheck, she realized she had made an error on her timecard and as a result wasn't paid for all the hours she worked. Cheryl reported the problem to her supervisor, Pam. What should Pam do? Select all that apply.
   a) Pam should check the CalTime system to verify that the hours Karen worked were recorded incorrectly.
   b) Pam should give Cheryl extra time off to balance out the underpayment.
   c) Pam should submit a ticket to CSS HR as soon as possible to notify the timekeepers of the underpayment. CSS will work with Cheryl to ensure she is paid for the additional hours.
20. Latisha is new to the UC system and is three months into her probationary period as a non-represented employee. Mai, her manager, has noticed that Latisha is struggling to keep up with her workload. Mai is wondering if she made the right hiring decision. What should Mai do to address Latisha’s performance? Select all that apply.
   a) Since Latisha is only 3 months into her job, Mai should wait to address the problem until the probation period is closer to ending.
   b) Meet with Latisha to discuss her performance and find out why she is struggling.
   c) Review performance goals with Latisha and write an evaluation of her performance, including what she needs to do to improve and a timeline for deliverables.
   d) Schedule additional training in the areas where Latisha is having difficulty.

21. Latisha is now in her fifth month of employment as a non-represented employee. She has shown minimal improvement as a result of coaching, feedback, and training. At this point in the probationary period, what are the best options available to Mai?
   a) Give Latisha the benefit of the doubt and recommend permanent employment.
   b) Extend her probationary period, in consultation with HR.
   c) Release Latisha from employment, in consultation with HR.
   d) b or c.
   e) None of the above.

22. Bobby, a non-represented employee, is contesting certain components of his annual performance review, including his rating. He believes he should be rated Exceeds Expectations rather than Meets Expectations. What should his supervisor do?
   a) Use the Core Competencies and Behavioral Anchors Matrix to discuss what performance looks like at both Meets and Exceeds.
   b) Closely compare performance goals and results.
   c) Explain that Meets means that Bobby met his goals. Ask him to give examples of how he surpassed his goals.
   d) All of the above.

23. Hanh’s team has recently successfully completed a big project. Both represented and non-represented employees worked on the project. She wants to reward every member of the team, but she knows represented employees are not eligible for STAR Awards. In order to reward each member of the team, what options does Hanh have? Choose the best option.
   a) Give STAR Award to non-represented employees.
   b) Tell the represented employees that their contract does not permit awards like this.
   c) Give non-represented employees STAR Awards and represented employees a non-monetary reward, such as a gift card of similar value.
   d) Send out a thank you memo to all members of the team.
   e) Give STAR Awards to all employees.
24. Which of the following is the most effectively written performance objective?
   a) Significantly reduce telephone expenses in the first quarter of 2015.
   b) Implement update of on-line graduate application program by October 1, 2015.
   c) Consistently offer excellent customer service.
   d) Develop and implement Safety First training program by May 30, 2015, with an 80% Good or Very Good evaluation rating.
   e) Identify three new funding sources by year-end.

25. Before conducting a performance review, a best practice is to ask the employee to complete a self-review.

   True or False

Disciplinary Action

26. Carla supervises a large group of clerical employees represented by Teamsters. This morning, she asked Monica to record and file a backlog of documents. Monica said no, she hates filing—get someone else to do it. This isn’t the first time Monica has refused to do what Carla has asked her to do. Last time Monica refused to do what Carla asked, Carla gave her a verbal warning. What should Carla do now? Select all that apply.
   a) Take disciplinary action by issuing a Letter of Warning.
   b) Notify HR who will consult with Labor Relations and advise of next steps.
   c) Suspend Carla without pay for 10 days for insubordination.
   d) None of the above.

27. Martha has been working in her department for over 20 years. During the last year, her performance has been declining. Robin, her supervisor, has talked to her about her poor performance and given her a verbal warning. Martha decides to retire rather than risk going through the disciplinary process. What are Robin’s primary responsibilities? Select all that apply.
   a) Plan a retirement party to thank Martha for her service.
   b) Ask Martha for a written confirmation of her stated retirement date and resignation.
   c) Document issues and draft a performance improvement plan (PIP), in the event Martha revokes her plan to retire.
   d) Discuss with HR an appropriate exit strategy.
   e) b, c and d.
28. Harvey has been working closely with Olivia, a represented employee, to help her improve her behavior and performance at work. Over the past six months, she has consistently failed to meet her performance goals. She is often late for work. He has given her several oral warnings. There is no change in her performance or attendance. Harvey gives her a Letter of Notice of Intent to Suspend employment without pay for 10 days. Did Harvey follow the correct procedure? Select the best option.
   a) Yes, as long as he describes the problem, corrective measures and prior disciplinary actions.
   b) No, he should have given her a Letter of Warning before the Notice of Intent to Suspend.
   c) No, he should have created a performance improvement plan (PIP) and given her a deadline by which to turn her performance around.
   d) b and c.

29. After issuing both verbal and written warnings, Shirley wants to suspend a represented employee. She should:
   a) Check the contract which covers the employee.
   b) Consult with HR.
   c) Immediately issue a Letter of Suspension.
   d) All of the above.

Complaints and Grievances

30. Maria, the supervisor, and Charles, a represented employee, have just concluded an annual performance evaluation. Charles received the lowest overall rating of ‘Less Than Satisfactory’, consistent with an earlier documented discussion of his performance. Charles does not feel Maria’s assessment of his performance is fair so he files a grievance. What is the first step Maria should take?
   a) Meet with Charles about the grievance; present him with documentation to support the rating.
   b) Work with her HR partner, who will conduct an investigation and inform Labor Relations of results.
   c) Arrange a meeting with Charles and his union representative.
   d) None of the above.

31. Andy likes to tell jokes. Some have sexual connotations. One of his coworkers, Katy, comes to you upset and tells you she is uncomfortable with Andy’s jokes. As Andy’s supervisor, what steps should you take? Select all that apply.
   a) Contact your HR partner immediately.
   b) Consult with the Title IX Officer in the Office for the Prevention of Harassment and Discrimination (OPHD) about how to respond.
   c) Suggest Katy may want to seek confidential support from CARE Services.
   d) Give Andy information about the University’s sexual harassment policy.
32. When an investigation confirms sexual harassment has occurred by an employee, you have several courses of corrective action. They include: (Select all that apply.)
   a) Counseling.
   b) Demotion.
   c) Suspension.
   d) Termination.

33. When an employee seeks resolution for a discrimination complaint (other than sex discrimination), and his/her department requests an independent fact-finding investigation, who conducts the investigation?
   a) The department's HR partner.
   b) The manager/supervisor.
   c) The Assistant Vice Chancellor of Human Resources.
   d) An investigator in Central HR.
   e) None of the above.

Health and Safety

34. Leo, a new employee injured his arm while working on something he was not trained to do, making it difficult for him to perform some of his job duties. What could Denny, his supervisor, have done to avoid this accident? Choose the best response.
   a) Trained Leo on safety procedures prior to authorizing Leo’s work.
   b) Confirmed that Leo and all employees have completed health and safety training before starting work.
   c) Partner Leo with an experienced employee to provide on-the-job coaching.
   d) All of the above.

35. Heather’s angry and threatening ex-boyfriend has been showing up around her workplace. She has told him not to, but he has ignored her. She comes to you, her supervisor, to tell you about the problem. What first step would you take? Choose the best response.
   a) Contact HR and the UC Police Department (UCPD).
   b) Contact the campus’ Title IX Coordinator.
   c) Contact CARE Services.
   d) None of the above
36. John is a new employee you supervise. His tasks involve working at a computer for more than four hours a day. What should you do as his supervisor to ensure he is properly physically supported at his workstation? Choose the best response.
   a) Arrange for training and then an ergonomic evaluation by one of the department's ergonomic evaluators.
   b) Suggest that John use the resources at University Health Services Health*Matters website to help minimize his risk of acquiring a computer use-related injury.
   c) Restructure his job so he doesn’t have to spend so much time at the computer.
   d) a and b
   e) All of the above.

37. State law specifies that the Injury and Illness Prevention Program (IIPP) for your workplace must contain: (Select all that apply.)
   a) The ways in which workplace hazards are identified, communicated, and corrected.
   b) A list of safety committee members and their contact information.
   c) Documentation of a process for annual workplace inspections.
   d) A list of employees in the department and the specific potential hazards of their jobs.

38. As a supervisor, your role in providing a safe and healthy work environment is to: (Select all that apply.)
   a) Identify the hazards relevant to your workplace, create procedures for controlling those hazards, and provide training.
   b) Regularly evaluate the workplace for new hazards.
   c) Act promptly to correct hazardous situations in accordance with your department’s Injury and Illness Prevention Program (IIPP).
   d) Assess, qualify, and authorize employees to do work.

39. CARE Services:
   a) Is an employee assistance program available to all staff and faculty.
   b) Offers free, confidential counseling on work-related issues only.
   c) Offers workshops on numerous topics, including those tailored to department needs
   d) a) and c)
   e) All of the above
40. If there is an injury-causing accident at your work site, the supervisor should: Select all that apply.
   a) Immediately complete the Employer’s Incident Report and send to HR.
   b) If medical treatment beyond standard first aid is provided, notify Environmental Health & Safety (EH&S), who will coordinate an investigation of the root cause of the accident with the manager.
   c) Direct the injured employee to University Health Services and, if the injury will prevent employee from performing essential functions of the job, notify Disability Management Services (DMS).

**Disability and Leave Management**

41. James’ job requires lifting heavy objects. Lately, he has been complaining about back pain as a result of heavy lifting. Martin, his supervisor, has given James time off to see his doctor and physical therapist. Martin already has several workers out on disability leave. James is an important member of the team. What can Martin do? Select all that apply.
   a) Request written documentation from a licensed medical practitioner indicating James’ limitations and restrictions, if any.
   b) Sit down with James and discuss what job functions he can perform and document the discussion.
   c) For the day, excuse James from lifting heavy objects.
   d) Work with HR to complete the Employer’s Report of Incident form and fax to Disability Management Services.

42. Juan has been out on disability leave for a medical condition for almost a year. He has come back several times (with his doctor’s authorization) but is unable to sustain his attendance due to his health condition. He has used all of his sick leave, vacation leave, short-term disability, and FMLA leave. Meanwhile, Eric, his supervisor is unable to hire a permanent replacement for Juan and is concerned about the distribution of the work left undone during Juan’s absences. What possible options does Eric have? Select all that apply.
   a) Without leave remaining, Eric should immediately terminate Juan’s employment.
   b) Work with Disability Management Services to evaluate Juan’s return-to-work restrictions, if any.
   c) Consider hiring a limited worker to fill in for Juan until he returns to work.
   d) Bring Juan back on a transitional, flexible schedule, with medical approval.
43. Diana has been out on disability leave. She is scheduled to return to work in two weeks. As her supervisor, what should you do? Select all that apply.
   a) Wait until Diana returns to work.
   b) Review current medical Return to Work Certification documentation outlining restrictions, if applicable.
   c) Initiate the Interactive Process with Diana before she returns from disability leave, allowing time to prepare a reasonable accommodation, if needed.
   d) Talk to Diana’s physician about potential limitations and restrictions.

44. What are some examples of reasonable accommodations? Select all that apply.
   a) Job restructuring—relocating or redistributing marginal job functions.
   b) Leave of absence.
   c) Part-time or a modified work schedule.
   d) Telecommuting or working from home.

45. The following conditions qualify for Family Medical Leave (FML): (Select all that apply.)
   a) Adoption, childbirth or pregnancy.
   b) Employee’s own serious health condition while being unable to perform one or more of the essential job functions.
   c) Care of a family member with a serious health condition.
   d) Military family/caregiver leave.

46. After submitting documentation for Family Medical Leave, employees must be notified in writing if the leave is granted (or not) within:
   a) 1 business day.
   b) 2 business days.
   c) 5 business days.
   d) 10 business days.
   e) None of the above.

47. A serious health condition is defined by FMLA as:
   a) An overnight stay in the hospital.
   b) Care of a grandchild.
   c) A severe cold.
   d) All of the above.

48. FMLA provides protection for the following: (Select all that apply.)
   a) Attendance record during time off.
   b) Benefit coverage while away.
   c) Pay while away from the job.
   d) Original or equivalent position upon returning to work.
49. Family Medical Leave Act (FMLA) requires covered employers to provide up to _____ weeks of unpaid, job-protected leave to eligible employees.
   a) 12.
   b) 16.
   c) 20.
   d) 10.
   e) None of the above.

**Code of Conduct**

50. Jan didn’t show up for work today. Her supervisor, Harry, has called her several times to find out why she isn’t at work. No answer. What should Harry do? Choose the best response.
   a) Call his HR partner.
   b) Ask others on Jan’s team if they know why she didn’t show up for work.
   c) Call Payroll to report that Jan’s pay should be docked for the day.
   d) All of the above.
   e) None of the above.

51. Colleen recently started a blog. It has taken off. Her supervisor, Bill, notices that Colleen has been spending more time on her computer than she usually does. He suspects that Colleen is working on her blog (she shuts down her computer whenever he walks by). What should Bill do? Choose the best response.
   a) Confront Colleen and inform her that using University resources inappropriately or for personal or financial gain violates University policy.
   b) Start the disciplinary process.
   c) Tell Colleen that he notices she has been spending more time on her computer lately. Ask her what she is working on that demands so much of her time.
   d) None of the above.
53. Consequence(s) of not maintaining a drug-free workplace include: Choose the best response.
   a) Increased risks to the health and safety of employees and students.
   b) Potential loss of Federal funds, including grants, contracts and student loans.
   c) Violation of department’s Injury and Illness Prevention Program (IIPP).
   d) All of the above.