



# Supervisor Certification Manual

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# Introduction

This Manual serves as a guide to the Supervisor Certification Process. It outlines the learning and assessment components in detail: coursework/readings, worksheets, facilitated discussions, coaching and case presentation assessment. Additionally, the manual provides specific information about the delivery process, timeframe for completion, tracking progress, case presentation assessment process, case presentation scoring, and training credit.

Newly promoted Supervisors participating in the process will be identified as "Candidate" throughout this manual, on all associated forms, and in written communications.

Certification is a requirement for case management supervisors. Failure to complete the process within the designated timeframe may jeopardize a Candidate's certification and thus hinder a candidate's placement in a leadership position. The certification process begins at the time of promotion and concludes on the following 6 month schedule.

- Months 1-3: Section 1 (Online coursework, classroom learning, and coaching/observations)
- Months 4-6: Section 2 ((Online coursework, classroom learning, and coaching/observations)
- Month 7: Case Presentation Assessment

The Appendix contains the following reference materials: Frequently Asked Questions; Candidate/Participant form for Supervisor Certification; Notification Email to new Candidates; Memorandum of Understanding; and Timeframe for Completion (example).

## Procedures

This Certification is comprised of on-line coursework and classroom learning. The certification also includes a coaching/observation component to be completed with the hiring supervisor on at least a monthly basis per Policy 4.4. The following steps outline the entire process from promotion to certification.

### ***Step 1: Notification of Promotion***

When an employee is promoted into a supervisory position, the Local HR Analyst forwards promotion information to the Regional Training Coordinator. The Regional Training Coordinator provides the Candidate's information to the Director of Supervisory Training via the *Candidate/Participant form for Supervisor Certification*.

### ***Local HR Analyst Responsibilities***

- Within 3 business days of promotion or the performance of supervisory responsibilities, the Local HR Analyst provides the Training Coordinator with the following information: 1. Name of the employee promoted; position number and job classification of position promoted from and position promoted to; and, effective date of promotion.

## **Training Coordinator Responsibilities**

- Within three (3) business days following promotion notification from Local HR Analyst, complete *Candidate/Participant Form for Supervisor Certification* and forward the form to the Office of Training & Professional Development.
- Provide immediate notification of status changes on the *Candidate/Participant Form for Supervisor Certification*. Status changes include: supervising from non-supervising, extended leave, and separation.

### **Step 1a: Supervisors Hired from Outside of the Agency**

- When a supervisor is hired from outside of the agency, HR will notify the Training Coordinator of the new hire within 3 business days. Within 3 days of notification to the Training Coordinator, the Training Coordinator will complete the *Candidate/Participant Form for Supervisor Certification* and forward the form to the Office of Training and Professional Development.
- Supervisors hired from outside the agency will not be mandated to participate in Pre-service Certification training. Local regional leadership will make the determination if a supervisor new to the agency will attend the entire Pre-service Certification training or portions of the training to include: CORE, Specialty Week 1, and/or Specialty Week 2. A Pre-service waiver will not be required if a region elects to forego Pre-service certification training.

**Please note:** The Office of Training & Professional Development receives a weekly promotional report extracted from Edison. If the *Candidate/Participant Form for Supervisor Certification* is not received within two weeks from the time of promotion as indicated in the weekly promotional report, the Office of Training & Professional Development or designee will send an inquiry email to the regional Training Coordinator. If the promotional information has not been received from the Training Coordinator within one week of the e-mail reminder, an additional request will be made to include a notification to the Regional Administrator, Superintendent, and/or Program Director.

The Candidate/Participant Form for Supervisor Certification is on page V of the Appendix.

### **Step 2: Notification to Candidates and Supervisors**

Within 3 days of receipt of notice of promotion, the Office of Training & Professional Development will send each Candidate (with a copy to the direct supervisor) a Notification email that includes the Supervisor Certification DCS Individual Learning Plan, a complete description of the Supervisor Certification process and components, along an individualized calendar assignment and a Process Calendar for their specific group.

The Process Calendar schedule includes:

- A schedule to ensure timely completion of each component of the Supervisor Certification Process.
- The specific classroom/online trainings to be completed.
- Explanation and instructions for supervision and coaching component.
- Timeframes for completion.
- The completion date for each activity, and responsible party.
- Explanation and instructions for Supervisor Certification Assessment (Final Presentation Panel)

A sample of the notification letter is located on page III of the Appendix.

# Coursework Component

The Candidate is to begin their coursework immediately upon receipt. Course can be located in Edison.

The coursework to be completed within 6 months of hire:

Coursework	Venue	Course ID	Hours	Due
Intro to Child Welfare Supervision	Online	CHCB1500	1	Month 1-3
Time and Labor	Online	CHCB0024	1	Month 1-3
Navigating Practices and Policies for Supervisors (DOHR)	Online	LPC1000	2	Month 1-3
G.R.E.A.T. Customer Service (DOHR)	Classroom	LPC1000	3.5	Month 1-3
AWS Awareness (DOHR)	Online	LPC1000	1	Month 1-3
Respectful Workplace for Managers (DOHR)	Classroom	LPC1000	3.5	Month 1-3
Sexual Harassment (DOHR)	Online	LPC1000	2	Month 1-3
SMART Performance Management (DOHR)	Classroom	LPC1000	3.5	Month 1-3
Proactive On-Boarding (DOHR)	Online	LPC1000	1	Month 4-6
Performance Management 2.0 (DOHR)	Online	LPC1000	3	Month 4-6
G.R.E.A.T. Customer Service STAR Principles (DOHR)	Online	LPC1000	2	Month 4-6
Performance Coaching (DOHR)	Classroom	LPC1000	3.5	Month 4-6
Get S.S.A.R.T.er Coaching for Higher Performance (DOHR)	Classroom	LPC1000	3.5	Month 4-6
Developing Direct Reports and Others (DOHR)	Classroom	LPC1000	3	Month 4-6
Effective Communication (DOHR)	Classroom	LPC1000	3.5	Month 4-6

The primary curriculum is completion of the *Level 1 Certificate for DOHR*. Each course provides information to develop skills and knowledge to support new supervisors as they begin to establish their own strategies for providing structure, direction, and professional development to their workers. Coursework is divided into two sections (*Month 1-3 & Month 4-6*), each with both classroom and online components.

## ***Candidate Responsibilities***

- Complete the classroom and online coursework for each section on or before the Target Date identified on the Process Calendar provided for each assigned group.
- Consult with supervisor/coach regarding any questions regarding the coursework. Seek clarification if needed.

## ***Supervisor/Coach Responsibilities***

- Provide support to Candidate, ensuring sufficient time has been allotted for completing the Classroom and Online coursework components.
- Track and document Candidate's completion of coursework on the Individual Learning Plan Form CS-1136 by initialing in the proper column for completion date. After each section of coursework has been

- verified and coaching hours documented, send a copy of the completed form to the Office of Training & Professional Development two (2) sections of coursework/observation coaching, two (2) submissions).

Time Commitment: Two sections assessed to be 40 hours of effort to complete. The breakdown for the hours of effort is as follows:

### **THIS SECTION SHOULD BE COMPLETED DURING MONTHS 0-3**

- Online Coursework – 7 hrs.
- Classroom Learning – 10.5 hrs.
- Observation/Coaching with Supervisor – 1.5 hrs.

### **THIS SECTION SHOULD BE COMPLETED DURING MONTHS 4-6**

- Online Coursework – 6 hrs.
- Classroom Learning – 13.5 hrs.
- Observation/Coaching with Supervisor – 1.5 hrs.

## **Coaching Component**

The candidate will participate in coaching sessions with his/her direct supervisor or designated coach. Each Supervisor/Coach will utilize the skills mastered in the “Child Welfare Supervision in Action” training (formerly known as “Leadership Coaching training”) to support the candidate through the certification process. The Supervisor/Coach will review the progress in the candidate’s Learner Portfolio to ensure completion, and to provide coaching around the content areas.

Within the first 4 weeks, while completing section 1, the coaching component will begin. The Direct Supervisor of the Candidate will serve in the role of Coach unless the Regional Administrator, Superintendent, and/or Program Director designate another Coach. For example, if the direct supervisor is on extended leave or also participating in the certification process, the Regional Administrator, Superintendent, and/or Program Director will assign another supervisor to provide Coaching. Upon assignment of a substitute Coach, the Regional Administrator, Superintendent, and/or Program Director will notify the Office of Training & Professional Development.

The on the job learning experiences, online coursework, and classroom learning provide the basis for coaching. A minimum number of coaching hours is required for each section as listed on the Timeframe for Completion Schedule to ensure that coaching is provided throughout the Supervisory Certification Process. Coaching supports the Candidate’s development of knowledge, skills, and ongoing professional development.

## **Candidate Responsibilities**

- Actively engage in the coaching process
- If coaching is not occurring or is not effective, notify next step of leadership or Office of Training & Professional Development

## **Supervisor/Designee Responsibilities**

- Provide a supportive environment as the candidate progresses through the process of learning new concepts, supervisory approaches, and skills.
- Utilize coaching skills from Child Welfare Supervision in Action training (formerly known as Leadership Coaching) to engage and support the Candidate.
- Use the Worksheet content to provide the basis for coaching. Additional topics of a supervisory nature specific to the Candidate in support of the Practice Model are acceptable.
- At a minimum, provide 10 hours of coaching as required by the Process Calendar (see below for section breakdown).
- Document the date and amount of time spent coaching on the Individual Learning Plan Form CS-1136 and email the completed form to the Office of Training and Professional Development within two (2) business days of completion. Required documentation is to be on file in the Office of Training and Professional Development on or before the specified target date of completion.
- Should a change in direct Supervision or a change in who will be coaching the Candidate occur at any time during the process, notify the Training Coordinator immediately. (Training Coordinator will notify Office of Training & Professional Development as outlined on page 16).

## **Assessment Component**

Upon completion of all Learning Components of the Supervisor Certification Process, Candidates will be evaluated to determine readiness to supervise. Evaluation will occur through a Case Presentation Assessment. Instructions are included on the *Supervisor Certification Assessment Case Presentation* tool. The purpose of the case presentation assessment is to evaluate how the Candidate approaches, processes, and applies knowledge to a supervisory case example. The structure allows multiple case presentation lists to assess the Candidate's critical thinking, and application of skills through responses to questions regarding a program specific supervisory scenario and a team scenario.

The case presentation is composed of a minimum of three individuals including the OJT Coach, who will serve as facilitator, the new Candidate's direct supervisor, and an additional regional/director representative. The additional regional representative will be selected by the region and can include any of the following: Team Coordinators, Deputy Regional Administrators, and Regional Administrators. The Office of Child Safety case presentation panelists will be the Regional OJT Coach, Investigative Coordinator, and Regional Investigations Director.

The Candidate will prepare prior to their scheduled presentation by reflecting on their coursework and coaching experiences with their supervisor. In addition, the Candidate will consider their on the job experience supervising their workers, providing support, structure and strategies for their professional development. The case presentation will consist of the panelists interviewing the Candidate by asking questions identified as most crucial for best practice. Questions are provided in the case presentation tool.



New Candidate responses should be five to ten minutes in length and behaviorally specific in detail.

The assessment will last for approximately one hour. The Candidate is dismissed, and each case presentation panelists' will rate the Candidate's responses individually, using the rating table as a guide.

Case presentation panelists' will then discuss their ratings, tally results and come to a consensus on final score about the Candidate's demonstration of the following competencies: child welfare mission and values, engagement through coaching, teaming, and self-management. Based on the rating consensus, the case presentation facilitator will complete the Case presentation Rating Summary.

Based upon final scores of the Assessment Candidates will be:

- 1) Fully Recommend New Supervisor for Certification;
- 2) Partially Recommend New Supervisor for Certification (Need extra development before Certification- maximum 45 days, must involve HR and next level leadership)
- 3) NOT Recommended New Supervisor for Certification

Total Time Allotment: 4 Hours

### ***OJT Coach Responsibilities***

- Within three (3) business days of notification from Office of Training & Professional Development that the Candidate has completed all learner components, contact all required parties to schedule the Case presentation 1 Assessment.
- Facilitate the Case presentation Assessment
- Complete the Case presentation Rating Summary
- Within three (3) business days of Case presentation 1 Assessment, email the completed Case Presentation Assessment Summary Form, case presentation list notes, and any Professional Development Plans to the Office of Training & Professional Development.

### ***Candidate Responsibilities***

- Arrive timely for Case Presentation Assessment.
- Prepare for interview portion of Case presentation Assessment.
- Participate fully in Case presentation Assessment.

### ***Case Presentation Responsibilities***

- Arrive timely (15 minutes prior to) Case presentation Assessment to receive specific instructions on case presentation process, including scoring. Ask questions as needed to understand process
- Review interview questions
- Participate objectively and fully in the process.
- Interview the Candidate, asking specific questions provided.
- Rate Candidate(s) objectively within the guidelines established.
- Discuss ratings and reach consensus on final rating of Candidate(s).

## ***Supervisor Responsibilities***

- Within one (1) week following the case presentation assessment, provide general feedback to the Candidate concerning the Case presentation 1 Assessment score.

## **Case Presentation 1: Scoring and Results**

- Candidates can receive up to a total score of 16.
- Candidates scoring 12 and above are ready to assume a supervisory role and are certified.
- Candidates with a total score of 8-11 need additional coaching and learning opportunities to strengthen skills.
  - Within five (5) business days following the Case presentation Assessment, a Professional Development Plan will be developed by Supervisor/Designee with the Candidate to include a specified completion date set based on the Candidate's needs, no less than four weeks from the plan development date.
  - Within three (3) business days of development of the Professional Development Plan, the OJT Coach or regional designee will submit a copy of the Professional Development Plan to the Office of Training & Professional Development.
- Candidates with a total score of 7 or less are deemed unqualified for supervisory duties and will not have successfully completed their probationary period. Candidates receiving this score will demote to a non-supervisory position or regional leadership may decide an alternative should be explored after consultation with HR.

## **Professional Development Plan for Candidates: Scoring 8-11 on Case Presentation 1**

The purpose of the Professional Development Plan (PDP) is to provide additional planning, development, and support to the employee in order to assist in performance needs. Use the SMART technique to develop strategies and techniques (agreed upon by employee and supervisor) to address the skill set to be strengthened.

S = Specific

M = Measurable

A = Achievable during the timeframe for certification

R = Relevant

T = Time sensitive

## ***Candidate Responsibilities***

- Participate fully and collaborate with Supervisor to develop Professional Development Plan.
- Ask questions to ensure full understanding of the Professional Development Plan.
- Sign final Professional Development Plan.
- Work on action steps in the Plan and fully participate in regular meetings with Supervisor to track progress on Plan.

## ***Supervisor Responsibilities***

- Within five (5) business days following the case presentation assessment, develop a Professional Development Plan in collaboration with the Candidate. The plan must include specific action steps designed to develop areas of needs identified by the Case presentation 1 Assessment. Each plan must also include a specified completion date based on the Candidate's identified needs within the maximum 2 weeks from the plan development date.
- Within three (3) business days of development of the Professional Development Plan, submit a copy of the PDP to the Office of Training & Professional Development.
- Ask any question of Office of Training & Professional Development to ensure full understanding of how to draft and work Professional Development Plan to set appropriate action steps and timelines.
- Ensure Candidate understands the action steps and timelines in the Professional Development Plan.
- Document the completion of the plan (and any revised plans) by signing and ensuring the Candidate signs the final Professional Development Plan (and any revisions).
- Track and detail progress on the Professional Development Plan form, and on the Monthly Performance Briefing form. Maintain copies of all documented progress.

## ***Office of Training and Professional Development Responsibilities***

- Within three (3) business days of receipt of drafted Professional Development Plans, review and provide feedback to Supervisor/Designee on steps needed to finalize the Professional Development Plan. In the event there are opportunities for improvement the Regional Administrator, Superintendent, and/or Program Director will be consulted.

## **Case Presentation 2: Assessment**

Candidates who earn a score of 8-11 for the first case presentation assessment will receive a second case presentation to re-assess the Candidates ability and job fit. As noted above, a Professional Development Plan will be developed by Supervisor/Coach with the Candidate based on the Candidate's needs in preparation for the second case presentation. The second case presentation will occur no less than four weeks from the plan development date to allow Candidates the opportunity to strengthen skills. The following case presentation lists should be present for the second case presentation assessment; Regional Candidates: Regional Administrator, or Deputy Regional Administrator and direct supervisor; Office of Child Safety Candidates: Investigations Coordinator and the Regional Investigations Director or the Deputy Director of Investigations and/or the Director of Investigations.

## **Case Presentation 2: Scoring**

- Candidates can receive up to a score of 16.
- Candidates scoring 12 and above are ready to assume a supervisory role and are certified.
- Candidates with a total score of 11 or below (on Case presentation 2 Assessment) are not ready for supervisory duties. Candidates receiving this score will demote to a non-supervisory position or regional leadership may decide an alternative should be explored after consultation with HR.

## ***Supervisor Responsibilities***

- For Candidates receiving a score of 12 or above, within five (5) business days after the Case presentation 2 assessments, provide general feedback to the Candidate on performance during the assessment, including noted strengths, growth opportunities, and areas needing improvement. It is imperative that the actual scoring not be shared with the candidate.
- For Candidates receiving a score of 11 or below, within three (3) business days, consult with local Human Resources Analyst to complete the notification and demotion process. If there is a regional decision to consider an alternative, please consult the local HR Analyst. In addition, please contact the Director of Supervisor Certification to share details for reporting purposes and documentation.

## ***Local HR Responsibilities***

- If applicable, follow established procedures to complete demotion process.

## **Certification**

The Office of Training & Professional Development will issue Supervisor Certification once ***all*** components have been completed and required documentation received. The certificate along with a congratulatory letter for the candidate will be sent to the Regional Training Coordinator for processing.

## ***Training Coordinator Responsibilities***

- Upon receipt of the Candidates Certificate and congratulatory letter, make copies of the original document for the Regional Administrator, Superintendent, and/or Program Director, the Candidate's direct supervisor, and the local HR Analyst for the Candidate's official personnel file.
- Forward the original Certificate of Certification and congratulatory letter to the Candidate within two (2) business days.

## **Status Reports**

The Office of Training & Professional Development will provide monthly status reports detailing Candidates' completion of components and compliance with the Process Calendar schedule. The reports are distributed to the following recipients: Deputy Commissioner, Executive Director of Regional Support, Executive Director of the Office of Training & Professional Development, Regional Administrators, Office of Child Safety-Regional Investigations Directors, OJT Coaches, Training Coordinators, Training Supervisors, and others as requested. The reports will be distributed on Tuesday of the first full week of the month.

## **Candidates' Status Changes**

If there is a change of status of any candidate during the Supervisor Training Process, Candidates, and direct supervisors should notify the local Training Coordinators immediately. Upon receiving notification, Training Coordinators will immediately notify the Office of Training & Professional Development. Example of status changes are: candidate is placed on extended leave, candidate returns from extended leave, candidate's position changes from a non-supervisory role to a supervisory role; changes in direct supervisor (or coach if

not direct supervisor); transfer into a non-supervisory position; or resignation. The Office of Training & Professional Development will update the Supervisor Tracking database with the specified changes to ensure accurate up-to-date information. The determination of the Candidate's status in the process will be determined on an individual basis. The Office of Training & Professional Development will update the database. The Office of Training & Professional Development will monitor the report and send any necessary inquiries regarding the candidates leave time and return to service dates.

### **Training Coordinator Responsibilities**

- Within three (3) business days of any status changes, document the change(s) in the comment section of the Candidate/Participation for Supervisor Certification form and email updated form to the Office of Training & Professional Development.
- Within three (3) business days of Candidate retuning to work, notify the Office of Training & Professional Development in the comment section of the Candidate/Participant for Supervisor Certification form.

## **Training Credit**

Candidates receive forty-four (44) of Training credit upon successful completion of the **entire** Supervisory Certification process. The time allotted for each component is listed below.

Coursework Online .....	13 Hours
Classroom Learning .....	24 Hours
Coaching .....	3 Hours
Case presentation Assessment .....	4 Hours
<b>TOTAL .....</b>	<b>44 Hours</b>

Please Note: The expected date of completion is determined by the promotion date and group assignment. The Certification process must be completed within **six (6) months** of the date of promotion. Candidates are encouraged to progress through the process at a pace conducive to their learning style. However, it is imperative that each candidate work steadily to complete each component on or before the established target dates.

Training Hours will be entered into Edison by the Office of Training & Professional Development.

# Appendix

## Frequently Asked Questions

### Initial Notification Email to New Candidate

#### **Frequently Asked Questions**

1. **If a promotion occurs into a supervisory position and the candidate does not have supervisory duties, do they need to participate in the certification process?** *If a supervisor is not supervising others they are not required to participate in the process.*
2. **What happens if the person in the supervisory role who currently does not have any supervisory duties later begins to supervisor others?** *Once the supervisor begins to supervise others, Local HR will notify the Training Coordinator who will in turn, complete a Child Welfare Supervision Participant Information form to the Director of Supervisory Training.*
3. **What happens if a candidate changes teams during the process?** *The direct supervisor will notify the Office of Training & Professional Development so that the data base will reflect accurate information. An assessment of the coaching assignment will determine if the same coach will continue to provide support or if a new coach will be assigned.*
4. **Who should a candidate contact if they feel their coaching sessions are not productive?** *A candidate may contact Local HR, the Regional Administrator, Investigations Director, or Director of Supervisory Training.*
5. **How long does a candidate have to complete the process?** *Six months from the date of promotion.*
6. **What is the Training Supervisor/Regional Trainer's role?** *The Training Supervisor/Regional Trainers facilitate the Adobe discussions.*
7. **Do regional trainers participate in the case presentation assessment process?** *The Regional Trainers do not participate unless designated to do so by the Regional Administrator.*
8. **What happens if a candidate does not acquire a sufficient rating required for certification?** *If a candidate does not acquire a satisfactory rating on the second case presentation they could be demoted. If a candidate is eligible for a second case presentation and they do not achieve a satisfactory rating, they could be demoted or regional leadership may decide to explore an alternative should be explored after consultation with HR.*
9. **How long does an employee have to wait after unsuccessful certification before he or she can apply for another leadership position?** *There is nothing in established rules, policies, or procedures that prevent an employee from applying for a position based on unsuccessfully completing supervisor certification or not successfully completing probation for the supervisory position.*
10. **Do new supervisors have to attend the Pre-service Overview training?** *Yes, new supervisors are required to attend the Pre-service Overview training to gain an understanding of the new hire process for case managers and the supervisor's role in that process. New supervisors to the **Child Abuse Hotline** do not need to attend the Pre-service Overview training.*
11. **Does a certified supervisor who separates from DCS and returns at a later date need to repeat the certification process?** *As of July 1, 2016, if a certified supervisor returns to DCS and the supervisor certification process has not been changed, then the supervisor will not need to repeat the process. If the certification process has been change, the returning supervisor will need to complete the most updated certification process.*

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## **Notification E-mail to New Candidate**

Dear,

*Congratulations on your promotion into a new leadership position within DCS. The information in this email will assist you as you begin the Child Welfare Supervision training. This certification training is a blended approach of **independent course work, coaching, and a case presentation assessment.***

*Candidate Process Expectations:*

- *You will begin your coursework once you receive the “Supervisor Certification DCS- eLearning Material”. The Coursework is divided into three sections of work. A timeframe for completion is attached that outlines target dates for completion of each section of work.*
- *Once you complete the readings and worksheets associated with each section of coursework, you will participate in a facilitated discussion (three sections of coursework, three separate discussions). These discussions are facilitated through Adobe meeting. Your training coordinator will send a notice monthly with the links.*
- *You will receive a total of ten (10) hours of coaching from your direct supervisor as you progress through the process. (unless otherwise determined by leadership in your region or division)*
- *You will participate in a Case presentation Assessment once all coursework components are completed. As a condition of probation, Candidates will need to achieve a satisfactory rating or demotion will occur or regional leadership may decide an alternative should be explored after consultation with HR.*

***Please refer to the attached Supervisor Certification Protocol Manual which will provide detailed information regarding the process.***

*Best Wishes and continued success in your career development!*