



Supervisory Management

QQI Level 6 6N4329

Course Manual

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Introduction

Welcome to the Supervisory Management course from DCM Learning.

This course manual is designed to help you to take notes as you work through the interactive modules, exercises and videos that make up this course. This can then be used to assist you in preparing your assessments, as well as being a practical 'aide memoire' for you in your role as a Supervisory Manager.

You will also see that a number of activities are built into the text in this document. These activities are designed to reinforce your learning and they do not have to be submitted.

At the end of this course, you will develop the competences required for the effective supervision of individuals and teams in an organisational context.

Within this manual you will find your detailed course topics along with additional information to further expand your knowledge and understanding.

NOTE: This manual is for your own use and does not need to be submitted to your tutor.

Introduction to Quality and Qualifications Ireland (QQI)

QQI – Quality and Qualifications Ireland is an independent State agency responsible for promoting quality and accountability in education and training services in Ireland. It was established in 2012.

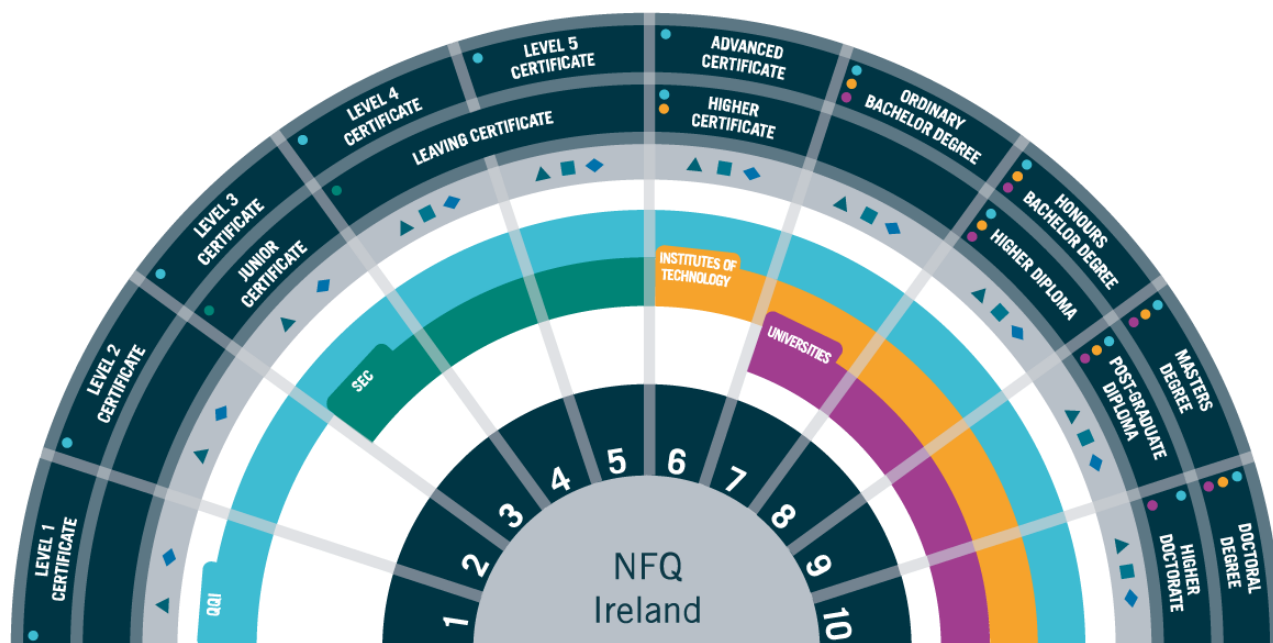
QQI's mission is to:

- promote the enhancement of quality in Ireland's further and higher education and training, and quality assure providers;
- support and promote a qualifications system that benefits learners and other stakeholders.

QQI's role as directly stated is to:

- promote, maintain and develop the Irish National Framework of Qualifications (NFQ), a 10-level framework for the development, recognition and awarding of qualifications in Ireland;
- approve programmes offered at a variety of schools, colleges and further and higher education and training institutions. These programmes lead to qualifications (QQI awards) listed in the NFQ, which are recognised internationally;
- regulate and promote the quality of programmes offered by schools and colleges leading to qualifications in the NFQ for the benefit of learners, employers and other interested parties;
- ensure that providers* offering national qualifications provide a positive, high-quality experience to international learners coming to study in Ireland. We will do this by authorising the International Education Mark (IEM);
- provide academic advice on the recognition of foreign qualifications in Ireland through a service called NARIC Ireland – the National Academic Recognition Information Centre. We also provide advice on the recognition of Irish qualifications abroad;
- inform the public about quality assured education and training programmes and qualifications through a database of programmes and a register of providers;
- advise the Minister for Education and Skills about national policy on quality assurance and improvement in education and training;
- manage a national scheme for the quality assurance of English language services (Accreditation and Coordination of English Language Services – ACE)

The National Framework of Qualifications (NFQ)



Qualifications frameworks describe the qualifications of an education and training system and how they interlink. National qualifications frameworks describe what learners should know, understand and be able to do on the basis of a given qualification. These frameworks also show how learners can move from one qualification, or qualification level, to another within a system. Over 150 countries are now developing, or have developed, a national qualifications framework.

The Irish NFQ, established in 2003, is a framework through which all learning achievements may be measured and related to each other in a coherent way. The many different types and sizes of qualifications included in the NFQ, are organised based on their level of knowledge, skill and competence. Because all NFQ qualifications are quality assured, learners can be confident that they will be recognised at home and abroad.

Quality and Qualifications Ireland (QQI) has the responsibility to develop, promote and maintain the Irish NFQ. QQI also facilitates the recognition of foreign qualifications.

This course is at Level 6 on the NFQ.

Management Theory and Practice

What is Supervisory Management?

Supervisory Management is defined as '***The action of overseeing and managing employees in the workplace***'. The goal of anyone who is involved in Supervisory management should be to help employees most adequately fit with the needs of a company. Such acts as holding meetings, reviewing performance, scheduling, assigning raises or bonuses, and hiring or firing employees could all be part of someone's job in this field.

Depending upon a company's infrastructure, those in Supervisory management may have a lot of power, or have relatively little. For example, a Supervisor may be in charge of scheduling and reviews, but not be able to make decisions regarding raises or termination of employees. Such Supervisors are often called middle management. Their primary goals are to ensure production, yet they often lack the ability to give rewards based on increased production.

The Supervisor's title may vary by industry and vocation, however, some common examples include:

Team Supervisor, Shift Supervisor, Support Supervisor, Service Supervisor, Nurse Supervisor.

The Supervisor role is one where the individual must have an excellent grasp of the work of the team, and also an understanding of the tasks and activities of a Manager. The Supervisor is often drawn from the working team because management appreciates their work ethic, company attitude, and commitment to quality. Organisations often require individuals promoted to Supervisory roles to attend first-line or front-line management training, where they learn important communication and management skills.

The role of a Supervisor is often a challenging one. The new Supervisor must often navigate the awkward transition from being one of the team members to the individual responsible for guiding work, offering constructive feedback and even writing up, disciplining or terminating a long-time colleague or friend. Instead of being a team member, the individual, as Supervisor, is now part of management. This transition is often extremely uncomfortable for all parties. In the role of Supervisor, the individual is accountable for team performance, which offers pressure above and beyond the level he or she may have experienced as a team member.



My notes on What is Supervisory Management

Supervisor vs Manager

The difference between a Supervisor and a Manager is that a Supervisor oversees the subordinate employees' work, while a Manager is focused externally on making decisions for their unit. Supervisors focus more internally, where they ensure that the objectives and strategy created by the Manager is implemented in the work space.¹

Both Managers and Supervisors work with subordinate employees, and are responsible for their overall success or failure within the company. The Supervisor is typically responsible for the hiring and firing of employees, while the Manager usually develops the unit's objectives that set the barometer by which the Supervisor measures an employee's work results.

Some companies take the Managerial duties and the Supervisor duties to create a combined Manager/Supervisor role. When companies understand the core goals of leaders, Managers and Supervisors, then they can place hired employees in the role that will work best for them.

It is also important to give employees set roles. Some companies have positions with overlapping roles. This often confuses employees about their true role within the organisation, and it makes creating objectives and implementing goals problematic. Tom Searcy of Inc. Magazine stresses the importance of companies developing concrete models with clear understanding when it comes to what role each employee plays in the success of the company.

¹ "What's the difference between a supervisor and a manager" <https://hr.berkeley.edu/node/3818>. Accessed 25 Aug. 2020.



My notes on What is Supervisory vs Management

The Responsibilities and Duties of a Supervisor

A Supervisor is responsible for the day-to-day performance of a small group. It may be a team, a department or a shift. Typically the Supervisor has experience in what the group does and has earned the position based on management's belief that they are capable of guiding the team. Common Supervisory tasks include:²



Figure 1.1 "What are the responsibilities of a Supervisor?"

- Helping the team understand performance targets and goals.
- Training or ensuring that workers are properly trained for their specific roles.
- Scheduling work hours and shifts.
- Coordinating job rotation and cross-training.
- Providing real-time feedback on worker performance.
- Sharing company updates, financial results and new objectives with team members.
- Assisting in resolving emergencies, e.g., a quality or a customer problem may be escalated to the team Supervisor for handling.

² "Supervisor Job Description: Salary, Skills, & More."
<https://www.thebalancecareers.com/supervisor-2276098>. Accessed 25 Aug. 2020.

-
- Identifying and resolving workplace problems, including tardiness or absenteeism.
 - Providing reports and activity updates to management.
 - Assisting in hiring and firing activities, although often the Supervisor requires the Managerial approval of all new hires or terminations.



My notes on The Responsibilities and Duties of a Supervisor

The People Management Cycle

As the diagram shows, effective management of staff is a continuous process. As well as developing skills in all of the identified areas, a Supervisor needs to be able to see the bigger picture, such as organisational goals, the marketplace, legislation, and their staff. This is also applicable within feedback and staff evaluation situations, where performance goals may be set with staff for a specific period of time.

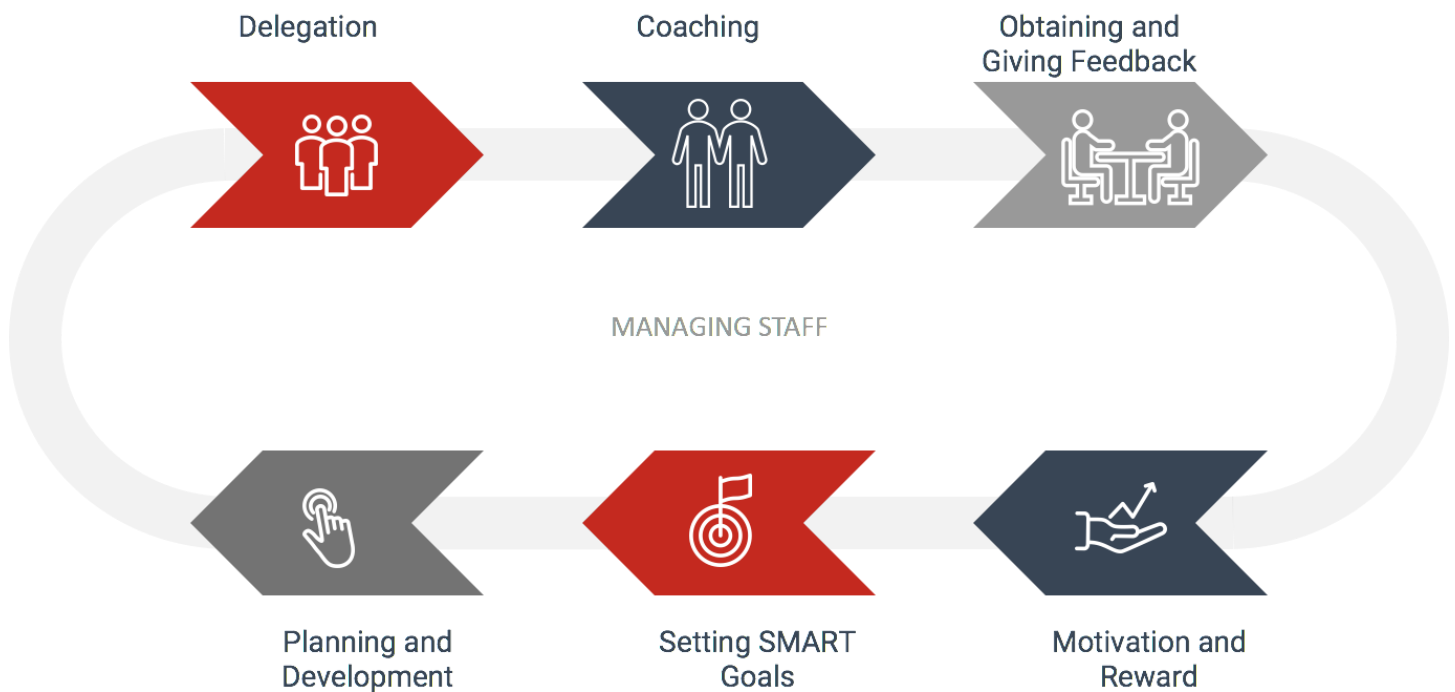


Figure 1.2 The People Management Staff Cycle

Delegation

Delegation is the assignment of any authority to another person (normally from a Supervisory Manager to a subordinate) to carry out specific activities. However, the person who delegated the work remains accountable for the outcome of the delegated work.

As can be seen from the definition, it is important to understand if you are assigning responsibility or authority. Under normal circumstances you will assign authority i.e. you retain responsibility for the task or activity. If the task is not completed to the required standard you will take responsibility.

If a Supervisory Manager wishes to delegate responsibility, they may need to update the person's job specification; this may mean negotiation with human resources, possibly leading to a pay or conditions update.

Delegation can benefit you and your team for a number of reasons:

- It enables staff to undertake more important duties / broader range of functions
- It can help to reduce your workload, and stress levels!
- It can allow more active decision-making
- It can improve the team building process
- It contributes to 'on-the-job' staff development and training

As well as the benefits already listed above, there are other compelling reasons to actively delegate, so why don't Supervisory Managers delegate more?

The barriers to delegation are multitude; sometimes the Supervisory Manager is just 'too busy' to consider delegation, or isn't aware of the benefits at a personal, team or organisational level. Perhaps there are organisational impediments, or peer pressure to just 'get on with it', work the long hours, and deal with the stress.

Summary of delegation 'rules':

- You must delegate sufficient authority to allow the person to do the job
- Delegate whole tasks, rather than just a small section of the task
- The extent and details of the task must be fully explained
- The person must be able to do the job
- Fix agreed deadlines
- Support, don't interfere
- Allow as much leeway for independence as possible
- Praise success, support failure or problems
- Follow up successes by showing trust
- Follow up failure by asking yourself why the delegation was unsuccessful

A 4 step process may also be considered;

1. **Preparation** – This is where the Supervising Manager will succeed or fail. Proper preparation means detailed consideration of the following factors:
 - a. What exact task is being delegated?

- b. Who is it most suited to?
 - c. Are the resources available for the person to carry it out?
 - d. Who can assist them if they have questions, or issues to address?
 - e. Is training required? If so, what type of training e.g. coaching, a training course, etc.
2. **Briefing** – The Supervising Manager must spend time briefing the person as to the exact nature of the task, including the following:
 - a. What end result is required
 - b. What is the measure of success
 - c. Examples of previous work
 - d. Written procedures, if available, or other documentation that may support the completion of the task
3. **Monitoring** – This may be the first time that this task has been carried out by another person. It is important to know how the person's work will be monitored in your absence
4. **Review** – It is important to spend time with the person, discussing what went well, what could have been improved upon, what issues or factors arose

Coaching

Broadly speaking Coaching is a process that allows an individual or group of people to reflect and gain awareness of who they are, what is important to them, their strengths, challenges, options open to them and what action to take in order to make the changes they want in their work or life.

Unlike training and instruction where the emphasis is on the trainer imparting their knowledge, Coaching focuses on helping the Coachee to take responsibility for identifying their own goals, assessing their own strengths and areas for development and identifying their own solutions for moving forwards. This is achieved by providing a safe, creative and non-judgemental space, asking thought-provoking questions and listening to help the Coachee explore, reflect and make decisions.



Further Learning:

If you would like to learn more about Coaching, DCM Learning also provides a QQI Level 6 in Coaching Models of Practice which focuses on working with a coachee or team members development and growth giving you additional skills to work as a successful Supervisory Manager. For more information on this course please do not hesitate to contact our team.

Obtaining and Giving Feedback

This critical skill is required both in a formal and informal setting. For example, in a formal setting, such as a scheduled one-on-one or a performance appraisal, how the information is delivered will determine the quality of your relationship with the employee. If your relationship with the employee is open and positive, then the scheduled meetings give you a great opportunity to get feedback on how you're doing as a Supervisory Manager. This feedback, when verified, can give you insight into areas for your own improvement, as well as letting you know what you're doing well. There are many models available for delivering feedback, both positive and constructive (or developmental). A tried and trusted model is SAID.³

Step	Notes
S = Standard	<p>Remind the employee of the standard, policy, best practice or expectation that has been set?</p> <p>For example, if a Supervisory Manager has to discuss a time-keeping issue with an employee then it is useful to start with reminding the person of the standard expected i.e. Be at your place of work at 9am, keep lunch for a half hour etc.</p>
A = Action	<p>What actions or behaviour were observed? Describe how the individual performed against their goals or competencies.</p> <p>For example, if the individual went above and beyond to satisfy a customer's needs, then refer specifically to that action.</p>

³ "Delegation - Wikipedia." <https://en.wikipedia.org/wiki/Delegation>. Accessed 25 Aug. 2020.

<p>I = Impact</p>	<p>What was the impact of the behaviour or lack of behaviour on the customer/client, the Supervising Manager, the team and the organisation.</p> <p>For example, following the above example, you might show them a positive review and let them know that the customer will probably also tell several more people about their positive experience.</p>
<p>D = Do / Develop</p>	<p>The 'D' can interchange depending on the situation.</p> <p>If the Supervisory Manager is giving motivational feedback, the 'D' can reinforce the behaviour by suggesting that the individual keep on doing what they have done.</p> <p>If the Supervisory Manager is giving developmental feedback, the 'D' will focus on what the individual needs to develop or do differently. Be specific on what you would like to see / hear / the person keep, stop or start doing. In practice this may become a goal for the individual, and the managing people cycle repeats.</p>

Motivation and Reward

The subject of motivation has been long discussed, many papers and studies have been written and performed, and several theorists, such as Herzberg have published works that have been tried and tested in relation to motivation in the workplace. Maslow's Hierarchy of Needs has been applied to the work setting, and a Supervisory Manager should understand the basic principles of both theorists and be able to apply them in practice.

A simpler approach to Motivation can also be looked at in terms of the 'carrot and stick' approach; again, a good Supervising Manager will know when to apply both in the work setting. Understanding another person's motivators, and acting positively on them, can assist a Supervisory Manager greatly in getting the most from their team.

Planning and Development

This phase of the managing people cycle involves the Supervisory Manager planning how the employee or team can achieve the goal(s) that have been agreed and looking for and enabling development opportunities to ensure overall employee and team growth in line with the goals of the organisation. The Supervising Manager will need to establish the current competences of the

employee and team, identify the gaps and then plan for opportunities to close them. These opportunities or interventions may involve on-the-job training, such as induction, specific skills training, tool box talks, operations meetings, shadowing (or buddying), even coaching or mentoring, and off-the-job training such as online courses, networking, external training events, webinars and so on.

The Supervisory Manager should plan for both individual and team circumstances; for the individual so that they are challenged, motivated, working to their strengths and so on, for the team so that all skills areas are adequately covered. A strategic Supervising Manager will plan for the future; if a key person resigns or becomes ill, they will have adequate cover, if a team member gains a promotion as part of their career plan, or as new technology is introduced. There are an infinite number of situations and circumstances where pre-planning will save the team.⁴

⁴ "Theories of Motivation | Organizational Behavior / Human"
<https://courses.lumenlearning.com/wmopen-organizationalbehavior/chapter/theories-of-motivation/>.
Accessed 25 Aug. 2020.



My notes on The People Management Cycle

Leadership Styles

Leaders exercise their authority in different ways. In doing so, they are said to exhibit a “leadership style”. Leadership styles are essentially about:

- The way that the functions of leadership are carried out
- The way that a leader behaves

There has been substantial research into the types and effectiveness of various leadership styles, with the four most common generally accepted to be:

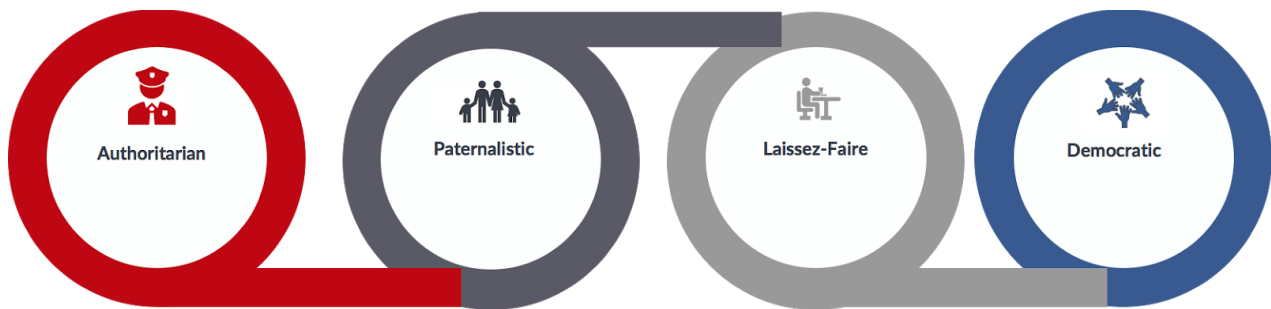


Figure 1.3 Leadership Styles

The key features of each of these leadership styles can be summarised as follows:

Authoritarian

- Autocratic leaders hold onto as much power and decision-making as possible
- Focus of power is with the Supervising Manager
- Communication is top-down & one-way
- Formal systems of command & control
- Minimal consultation
- Use of rewards & penalties
- Very little delegation
- Most likely to be used when subordinates are unskilled, not trusted and their ideas are not valued

Paternalistic

- Leader decides what is best for employees
- Akin to a parent/child relationship – where the leader is seen as a “parental-figure”
- Still little delegation

- A softer form of authoritarian leadership, which often results in better employee motivation and lower staff turnover
- Typical paternalistic leader explains the specific reason as to why he/she has taken certain actions

Laissez-faire

- Laissez-faire means to “leave alone”
- Leader has little input into day-to-day decision-making
- Conscious decision to delegate power
- Managers / employees have freedom to do what they think is best
- Often criticised for resulting in poor role definition for Supervising Managers
- Effective when staff are ready and willing to take on responsibility, they are motivated, and can be trusted to do their jobs
- Importantly, laissez-faire is not the same as abdication

Democratic

- Focus of power is more with the group as a whole
- Leadership functions are shared within the group
- Employees have greater involvement in decision-making – but potentially this slows-down decision-making
- Emphasis on delegation and consultation – but the leader still has the final say
- Perhaps the most popular leadership style because of the positive emotional connotations of acting democratically
- A potential trade-off between speed of decision-making and better motivation and morale?
- Likely to be most effective when used with skilled, free-thinking and experienced subordinates

As a generalisation, in most business sectors there has been a gradual shift away from autocratic leadership. Possible reasons for this include:

- Changes in society’s values
- Better educated workforce
- Focus on need for soft HR skills
- Changing workplace organisation
- Greater workplace legislation⁵

⁵ "Leadership styles Flashcards | Quizlet." <https://quizlet.com/209936728/leadership-styles-flash-cards/>. Accessed 25 Aug. 2020.



Learning Activity:

Leadership Styles Questionnaire

Complete the Leadership Styles questionnaire below. Interpret your scores as instructed and review the Situational Leadership model in preparation for discussion during the workshop.

Below are sets of statements relating to the leadership task categories. Take each set of statements (e.g., 1-4, 5-8, 9-12, 13-16, etc.) read them carefully and mark yourself as follows:

Most like me	Score 4	Third most like me	Score 2
Second most like me	Score 3	Least like me	Score 1

So for example, for the first set of statements you may feel, out of the four statements the third one is the most like you. You should give this a score of four and so on.

STATEMENT		SCORE
Goal Setting		
1	I think it is important to outline the task clearly	
2	I believe I should tell people exactly what I accomplished	
3	I'd prefer my team members to set their own detailed goals	
4	I'd prefer to outline a task in broad terms to my team	

5	Sometimes people don't grasp what I am really after	

6	Sometimes I may be perceived as being too patronising when I am setting tasks	
7	People feel that I sometimes come across as too dictatorial	
8	There is a danger that my team sometimes lacks a clear direction	

Team Spirit		
9	I'd like the team to develop their own ways of working together.	
10	I feel I must make my team understand the importance of working for each other.	
11	I feel it's important that I state quite clearly the role I want each team member to play.	
12	I like the idea of the team regularly meeting to share ideas.	

13	I sometimes don't give my team members enough freedom to help each other.	
14	We can spend too much time discussing issues without coming to any constructive conclusions.	

15	I sometimes spend too much time with each individual to allow enough time for the whole team to be together.	
16	The team is sometimes so busy doing their own thing that they can become fragmented.	

Communication

17	I feel I should tell everyone exactly what they need to know – and no more.	
18	I like people to take the time to tell me what is happening in their work	
19	I think it’s important that I regularly advise my staff so they have a clear picture of what is going on.	

20	I always like having the time to exchange information within the team.	
----	--	--

21	I sometimes learn about problems too late to take the appropriate action.	
22	People in my team sometimes feel they cannot raise controversial issues.	
23	I sometimes don’t know what my team really thinks about things	

24	Sometimes I spend too much time listening to others rather than giving information myself.	

Motivating		
25	I believe that working closely with my staff inevitably makes them more motivated.	
26	I feel that allowing my team to have a free rein increases their motivation	
27	I like my staff to suggest ways in which I can motivate them better	
28	I feel that being direct is the best way of letting my staff know how I feel about their job performance.	

29	Sometimes the way I handle my staff doesn't take into account their personal motivational characteristics.	
30	I can sometimes be overbearing when I am trying to get my staff to accomplish a task.	
31	Sometimes I spend too much time trying to find out what makes my team tick.	

32	People really have to be self-motivators in my team to do very well	

Developing Discipline		
33	I prefer looking for joint solutions to poor performance.	
34	I feel that if I work closely with my staff it helps maintain discipline	
35	I believe it is important to act in a direct way when I spot poor performance.	
36	I like my team to take full responsibility for maintaining high work standards.	

37	I suppose I can be a bit relaxed about disciplining my team.	
38	I sometimes find it difficult to see why people don't take responsibility for their own work standards.	
39	I sometimes find it difficult to switch from helping to disciplining	
40	Sometimes I may be a little harsh on poor performers.	

Supporting		
41	I like to point out to my staff what development plans I have for them.	
42	I think an open discussion is a good way to make people feel there is support available.	

43	I feel that I should have close contact with my staff so that I will find out their problems.	
44	I think it's important that my team know that I am available when they need help.	

45	Sometimes I try too hard to be pleasant with everyone in my team	
46	I can sometimes be too protective of my staff instead of letting them learn from their own experiences.	
47	I am sometimes seen as being too remote to be of help to my team.	
48	I suspect that staff tend not to come to me with their problems.	

Scoring: Put in the scores you gave for the following statements:

DIRECTING

2		7			11		13			17		23	
28		29			35		40			41		48	
TOTAL													

COACHING

1		6			10		15			19		22	
25		30			34		39			43		46	
TOTAL													

SUPPORTING

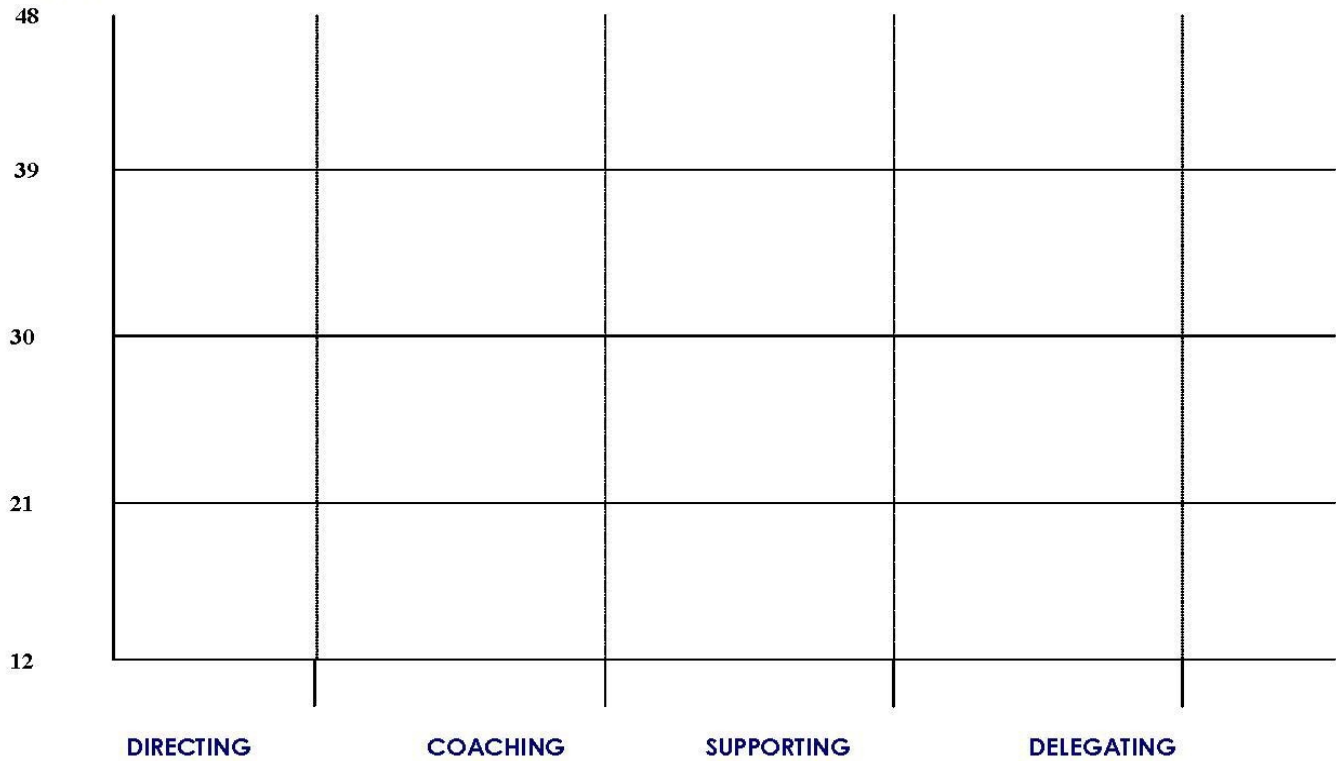
4		5			12		14			20		24	
27		31			33		37			42		45	
TOTAL													

DELEGATING

3		8			9		16			18		21	
26		32			36		38			44		47	
TOTAL													

Leadership Style Analysis

Now plot your scores: -



Centre for High Performance Development
Royal Bank of Scotland Insurance
Managing & Leading People: Level 1

Leadership skills and actions in the four styles

Supporting	Coaching
<ul style="list-style-type: none"> ● Assume the role of guide, listener, facilitator, etc. ● Make yourself available for problem counselling ● Continue to communicate widely and be available for feedback ● Coach, mentor, train ● Specify objectives and leave the team to decide how these will be achieved ● Encourage shared decision-making and responsibility 	<ul style="list-style-type: none"> ● Combine instruction with coaching questions ● Spend time with each individual in the team ● Develop personal relationships based on shared interests ● Get to know the team individually ● Concentrate on extensive daily communication and interaction with the team ● Be directing, but encourage feedback and contributions from the team ● Continue to monitor performance and reward positive behaviours
Delegating	Directing
<ul style="list-style-type: none"> ● Clarify and agree on objectives with the full participation of the team ● Give support if requested ● Reconcile difficulties if reported ● Provide information and technical expertise if requested ● Represent the group to other groups if necessary ● Avoid interfering/monitor indirectly ● Attend to other aspects of leadership 	<ul style="list-style-type: none"> ● Instruct clearly and extensively ● Be clear about expectations and procedures ● Develop an individual's technical knowledge ● Rigorously monitor performance ● Discipline constructively where necessary ● Be fair, but firm ● Praise and criticise justly ● Explore performance in an objective setting ● Involve yourself fully in the daily performance of the team



My notes on Leadership Styles

Cultural and Ethnic Diversity in the Workplace

A Supervisor should take into account the culture, attitudes and values of their organisation and positively promote practices and processes that encourage and value diversity.

Workforce diversity is defined as the ways in which people in an organisation are different from and similar to one another. Based in civil rights legislation and social justice, the word “diversity” has traditionally been associated with fair hiring practices and the prevention of discrimination and inequality.

Today diversity focuses on both the differences and similarities of employees, which reinforces the belief that all levels of Managers and organisations should view employees as having qualities in common as well as differences and find ways to develop strong relationships with and engage their entire workforce.



Figure 1.4 Cultural Diversity in the Workplace

Gender

Men and women have different viewpoints, ideas, and market insights, which enables better problem solving.

Gender diversity is vital to any workplace. Not just because it's a laudable goal; it simply makes bottom-line business sense. If you need proof, look no further than a recent Gallup study, which finds that hiring a demographically diverse workforce can improve a company's financial performance.

The study of more than 800 business units from two companies representing two different industries -- retail and hospitality -- finds that gender-diverse business units have better financial outcomes than those dominated by one gender:

- Gender-diverse business units in the retail company have 14% higher average comparable revenue than less-diverse business units (5.24% vs. 4.58%).
- Gender-diverse business units in the hospitality company show 19% higher average quarterly net profit (\$16,296 vs. \$13,702) than less-diverse business units.

And if the gender-diverse business units are also highly engaged, financial performance improves dramatically. Retail units that are diverse *and* engaged have a 46% higher increase in comparable revenue. Similarly, diverse and engaged units in the hospitality company have a 58% higher net profit than single-gender and less-engaged units. These results show the additive effect of gender diversity and engagement on a company's bottom line.⁶

Age

Some people want to do business with the young hotshot, while others want the greybeard. This is just human nature. By having a workforce which is predominantly one generation, businesses can miss out on some customers.

Younger workers are more likely to take risks that can benefit the company if there is a "safety net" of older workers to catch them if they fall. Conversely, older workers can rapidly fall behind the times and be beat by competitors if they don't keep up. A multi-generational workforce lets each generation do what they do best, without a fear that something will be missed. This leads to greater creativity and a better flow of ideas within the company.

⁶ "The Business Benefits of Gender Diversity - Gallup." 20 Jan. 2014, <https://www.gallup.com/workplace/236543/business-benefits-gender-diversity.aspx>. Accessed 25 Aug. 2020.

The multi-generational workforce can be a real challenge, especially if each generation is vying for the most recognition.

A good Supervisory Manager will utilise the tension rather than fear it or try to gloss it over. The most important thing is for the younger generations to value the experience and wisdom of the older generations, and the older generations to value the skills and innovation of the younger generations.

So long as everyone operates with mutual listening and respect, the multi-generational workforce will kick butt over a workforce that is predominant in one generational demographic.⁷

Race/Ethnicity

Both employers and employees have responsibilities when it comes to promoting and monitoring racial and ethnic diversity policy in the workplace. Both stakeholders have to work together to ensure the success of a company's diversity initiatives.

- **Employer Responsibilities** - Employers should act as facilitators and purveyors of knowledge to improve relations among their diverse workforce. Employers should also continuously work on the development of diversity policy and implementation. Management should also be trained to ensure the improvement of awareness on racial discrimination and ethnic diversity in the workplace. Furthermore, employers can help build the capacity of Managers and Supervisory Management to ensure that the ethnic diversity policy is effectively applied within the company.
- **Employee Responsibilities** - Employees and organisations tasked with protecting workers rights should lobby companies for strong ethnic diversity policies, ensuring that all workers enjoy equal opportunities at all stages of the employment cycle, including access to employment, training, promotion and retirement. Employees also have an important role in raising awareness amongst themselves on the right to a workplace free from racial discrimination and in supporting their coworkers when they issue complaints.⁸

⁷ "4 Benefits Of Age Diversity In The Workplace - Work It Daily" 12 Aug. 2019, <https://www.workitdaily.com/age-diversity-in-the-workplace>. Accessed 25 Aug. 2020.

⁸ "Racial and Ethnic Diversity in the Workplace | PeopleScout." <https://www.peoplescout.com/insights/racial-ethnic-diversity-in-workplace/>. Accessed 25 Aug. 2020.

Sexual Orientation

Within the framework of diversity management, sexual orientation represents a non-observable or underlying type of diversity, as opposed to more visible traits such as race or gender. The reason is that gay, lesbian, and bisexual employees can choose to what extent they reveal their sexual orientation in the workplace.

Earlier this year, the FedEx Corporation made the news for changing its employee's benefits for same-sex partners allegedly as a result of shareholder activism. Although they have yet to implement them, other companies such as ExxonMobil and Wal-Mart have received the same pressures of proposed resolutions from shareholders that specifically target same-sex domestic partner benefits that are currently lacking from these companies.

For a leader in an organisation, it is imperative to be aware of and proactive in creating a positive climate for your employees, inclusive of differences in sexual orientation. Creating a safe and equitable workplace is critical for employee recruitment, retention, and satisfaction and encouraging innovation in the workplace. It is also a key component in reaching out to a more and more diverse audience in the marketplace.⁹

Disability

Equal opportunity should be apparent in any workplace; whether employing a very small selection of staff or hundreds in an office, warehouse or even on the shop floor. Each and every candidate should be given the opportunity to fulfil the job role regardless of a disability or impediment.

The cost of hiring a disabled employee doesn't have to be expensive, but several reasonable alterations may have to be made for disabled employees to go about their tasks without struggle. For example, adapting the premises of the workplace and adapting equipment for those with physical impediments. For those with psychological disabilities, presenting information in other formats and allowing extra time for tasks may be necessary.

Making sure a business welcomes disability within the workplace is not only the correct thing to do, but it also welcomes a vast selection of benefits too. Encouraging applications from disabled candidates will not only portray a good image for a business but will also:

- Increase amount of suitable candidates
- Reflect a wide customer base

⁹ "Toward a Racially Just Workplace - Harvard Business Review." 20 Nov. 2019, <https://hbr.org/cover-story/2019/11/toward-a-racially-just-workplace>. Accessed 25 Aug. 2020.

- Boost productivity and creativity levels¹⁰

Religion

Religious diversity in the workplace can bring a company many benefits in the form of different viewpoints. Managing religious diversity in the workplace, however, can be challenging from a human resources standpoint. Tolerance and acceptance of religious views is vital, as well as being able to accommodate those who may need extra time off or may have special needs that are dictated by their religious preference. By following a few guidelines, it is possible to have a workplace that is enriched by its diversity.

1. Offer training to all employees. In a diverse workplace, there are going to be clashes, some that may not be intentional. Religion is a hot button issue on its own and when two religions collide the results can be devastating. It is vital to offer training to all employees and to discuss what is acceptable in terms of discussing faith in the workplace. Employees may try to impose their belief systems on others without even realising it.
2. Provide time off to employees for religious reasons. Some religions dictate that worship must be offered at specific times and these times may interfere with a work day. Offer time off for these employees and be prepared to face some criticism from employees who do not share the same faith and feel slighted because they do receive the same treatment. Remind them that several religious holidays, such as Christmas and Easter, are typically offered as paid holidays.
3. Encourage employees to accept differences. While many religions are directly opposed to one another, common ground can be reached once acceptance occurs. Monitor employees and if it is apparent that there is discontent over religious issues, encourage the two parties to discuss their faith and problems in a safe environment, away from other workers, so that they may come to a better understanding of one another. Encourage the finding of common ground between employees.
4. Avoid overreacting to simple issues that may arise. A newly diverse workplace is bound to have growing pains and it is important to embrace these struggles and avoid overreacting to them. Remember that you cannot please all of the people all of the time. Compromise is a vital part of true diversity.

¹⁰ "The benefits of disability diversity in the workplace." 16 Oct. 2018, <https://www.hrdconnect.com/2018/10/16/the-benefits-of-disability-diversity-in-the-workplace/>. Accessed 25 Aug. 2020.

-
5. Adopt a no-tolerance policy for severe issues. Employees need to know what kinds of behavior will not be tolerated and that action will be taken immediately if problems between employees occur. If they have been properly trained and educated on company policies, there is no excuse for severe religious issues between employees.¹¹

¹¹ "How to Manage Religious Diversity in the Workplace | Small"
<https://smallbusiness.chron.com/manage-religious-diversity-workplace-10718.html>. Accessed 25 Aug. 2020.



My notes on Cultural and Ethnic Diversity in the Workplace

The Supervisors Skill Set

Effective Communication

For our purposes, communication is simply the process of getting information from one person to another, such that the information is received and understood. Like any other human skill, it can be done well, or badly, but critically can also be misunderstood, leading to confusion, conflict, and worse!

The diagram below shows how it works:

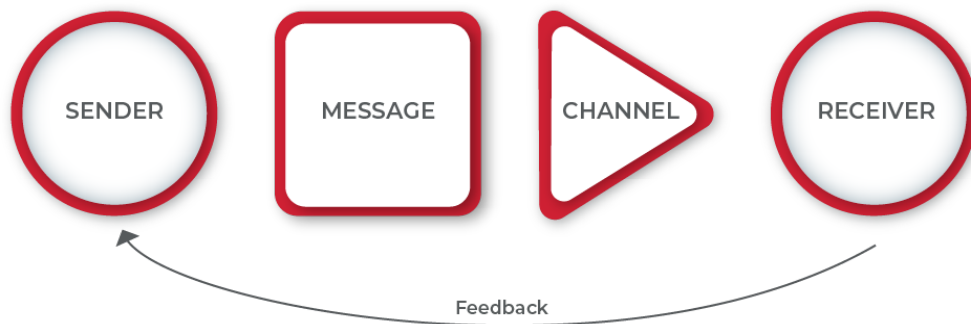


Figure 1.5 Effective Communication Flow

A person sends a message, let's assume by voice. So, the source is the thought in the person's mind, which is then encoded into language via the channel of the voice; the other person, or people, receive the message and decode it, usually through hearing, and give feedback to the sender based on their understanding of the message. Simple; yet so many messages are misunderstood because something breaks down along the way.

There are five stages between the thought happening and the feedback arriving back to the sender; all of these stages have the potential for errors. For effective communication to happen, all stages have to be operating correctly, and for fully effective communication, the stages may have to be gone through several times for the one message.

For example, A Supervising Manager explains to an employee what is required to be done, the employee responds with their understanding, which the Supervisory Manager then corrects or

enhances with extra detail. As the diagram below shows, there are multiple factors/noise that affect either person's 'filter', or the encoding and decoding part of the process.

Noise can include a wide range of factors such as stress, lack of confidence, language, tiredness, anger, hearing problems etc. On top of this noise we also need to consider the potential personal barriers to effective communication that may exist at an organisational level, as well as physical and environmental barriers.

Finally, the medium or channel of communication presents pros and cons, so choosing the correct one is imperative. Clearly the most effective channel is 'face-to-face', though this isn't always possible. Other channels include telephone, both fixed and mobile, email, text, direct messaging, WhatsApp group messages, audio/visual systems, and others. Some of these will be discussed on the course, the key message being 'choose the correct and most appropriate channel for the message to be delivered', and remember, sometimes you may use more than one. For example, a one-on-one meeting with an employee may well be followed by an email for documentation and confirmation purposes.

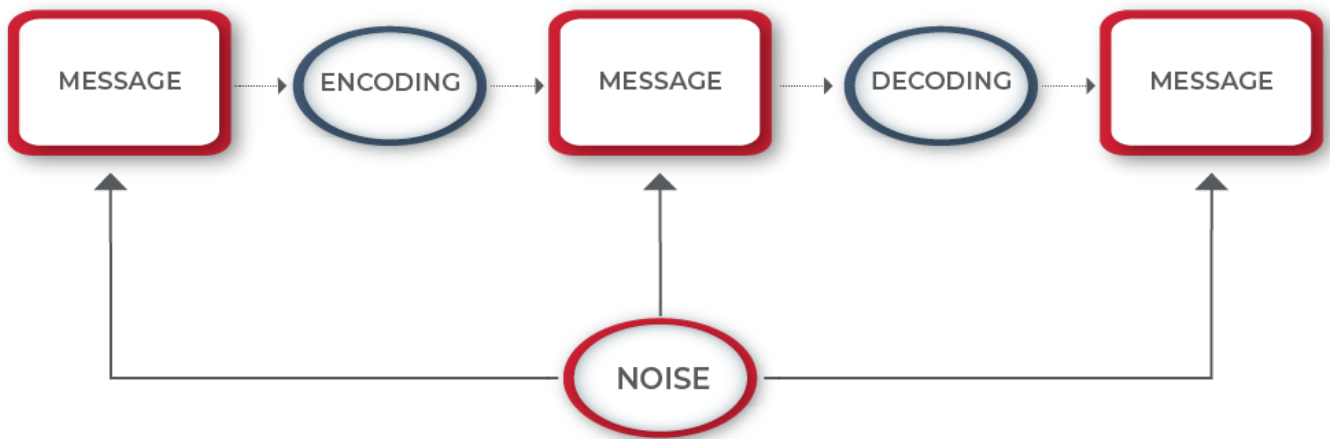


Figure 1.6 Encoding and Decoding Communication Flow



Learning Activity:

A study by Dr. Albert Mehrabian (UCLA1967) into the communication of feelings and attitudes, showed that the message was delivered by the 3 Vs, or verbal (words), vocal (tone) and visual (body language).

Let's take an example to illustrate

Two work colleagues do not get on well, there is constant tension between them, and they often compete for the same thing, be it attention from their boss or high profile work.

One of them decides to confront the other, enquiring as to whether the other has a problem with them. The answer is delivered in a flat monotone, filled with sarcasm “No, I don't have a problem with you at all, why would you think that?”

The response is delivered with a stare, and completed by a raising of the eyes or the eyebrows or both. The stares resumed.

Clearly, in this example, the words mean little or nothing; on average 7%, according to the studies; however the tone of the voice, and the body language, say it (nearly) all!

Below, think of an example where you have witnessed or taken part in a similar scenario.

The Elements of Communication

There is a wide variety of communication elements, which we will further discover but most commonly known is body language and a tone of voice as these are at the forefront of communication.

There are some key points regarding both tone and body language.

- A dictionary definition of tone is *'a quality in the voice that expresses the speaker's feelings or thoughts, often towards the person being spoken to'* (<https://dictionary.cambridge.org/>). The factors that need to be considered in this element of communication are speed, pitch, volume, accent, and the Supervisory Manager should be sensitive to using tone that might indicate humour, sarcasm, and doubt. The infamous response of 'yeah, right', accompanied by a sarcastic tone is clearly meant to say 'absolutely not'!
- The major part of face-to-face communication (up to 55%), body language is a minefield of gestures, movements, signals and physical positions. The Supervising Manager should be mindful of such issues as personal space, posture and position when meeting with employees, facial and hand gestures, as well as the commonly misunderstood handshake, folded arms, and eye contact. They should be sensitive to the employee's use of body language and try to mirror this as appropriate.
- Of course, we must not forget that without words, effective communication typically cannot take place, so the Supervising Manager needs to consider such issues as company language, acronyms, words with several meanings, and remember the golden rule 'keep it simple'.
- The following table shows how the percentages vary when the channel is not face-to-face. For example, using telephone (audio) one could assume that body language would have no effect, however in practice, the way one sits or walks around whilst talking by phone affects up to 10% of the quality of the conversation. This is particularly significant for such roles as customer support, where much of the problem solving is done by phone. Similarly, in a role where much communication is achieved by email or letter, the employee should be aware of the importance of tone.

ELEMENT/METHOD	FACE TO FACE	AUDIO	WRITTEN
Words	7%	20%	80%
Tone	38%	70%	20%
Body language	55%	10%	n/a

Figure 1.7 Table of Communication

The Mehrabian Formula

It is a fact that body language plays a key role in communication. A formula was developed from two studies conducted in 1967 by Albert Mehrabian, Morton Wiener and Susan Ferris. Which would later be known as the Mehrabian Formula.

In the first study 30 psychology students were asked to listen to 9 words recorded on an audio tape: 3 positive words, 3 negative words and 3 neutral words. These words were spoken with different voice tones and students had to guess which emotions were associated using a quantitative scale. Of course, tone of voice was a better predictor of emotions than the content of words. This result was obvious because listening to the pitch of the voice contains more emotional information than listening to isolated words without any associated context.

In the second study, 37 psychology students were asked to listen to an audio recording of the word “maybe”, spoken in three different voice tones (positive, negative and neutral). After listening to the recording, they were shown black and white photographs of a female face with positive, negative and neutral facial expressions. As in the previous study, they had to guess which emotions were associated with tone of voice and facial expressions. Once again, the results were evident. It was easier to identify positive, negative and neutral emotions by looking at the facial expressions in the photographs than by listening to the word “maybe” with different tones of voice.

Mehrabian combined the statistics from the two studies and created the formula 7-38-55 and these studies refer exclusively to the communication of emotions and attitudes and not to communication as a whole.¹²

¹² "7-38-55 (Mehrabian's Rule) - ProjectManagement.com." 12 Jan. 2020, <https://www.projectmanagement.com/wikis/603813/7-38-55--Mehrabians-Rule->. Accessed 25 Aug. 2020.

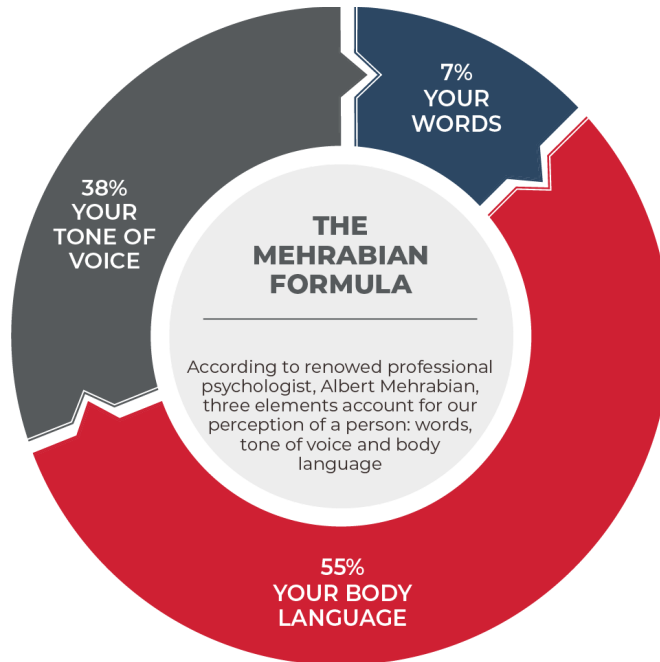


Figure 1.8 The Mehrabian Formula



Learning Activity:

To see how this works, try saying the sentences below with the emphasis each time on the word in bold.

I didn't say he borrowed my book.

I **didn't** say he borrowed my book.

I didn't **say** he borrowed my book.

I didn't say **he** borrowed my book.

I didn't say he **borrowed** my book.

I didn't say he borrowed **my** book.

I didn't say he borrowed my **book**.

The same sentence can have multiple meanings depending on which word is emphasised. The emphasis on a particular word implies additional information than what the words say.

Active Listening

Active listening is a method of communication with a person that involves you giving your undivided attention to the person. If done correctly, listening can absorb as much energy as talking, but it is well worth the effort!

The following are the key points of active listening, having first obeyed the first and most important rule of listening, STOP WHAT YOU'RE DOING! If you're in the middle of doing something important or critical to you, let the person know and arrange to chat to them as soon as possible after the request.

- **Use Listening Responses** - Use an occasional “Yes, I see”, “I know”, and/or nod to show that you are listening. This also encourages them to keep talking.
- **Ask Clarifying Questions** - If you are uncertain about what is being said ask for clarification immediately, or at an appropriate time soon after. Try not to ‘butt in’, instead ask for permission to interrupt, and ask the clarifying question. E.g. ‘Sorry, can I stop you there? You just mentioned MEWP training, can I check what that means?’
- **Use Reflecting Phrases** - If you want the speaker to expand on a certain point, say something like “you mentioned earlier that.....”. Follow through with a question that teases out the point further.
- **Limit Your Own Talking** - You can't talk and listen at the same time! Limit your own talking, and this encourages the speaker to feel respected.
- **Review the Main Points** - Review the main points discussed and agreed to. This ensures that both parties are in agreement before going their separate ways! Remember to listen for both content and feeling in a conversation, and to look out for body language.

Giving Encouragement

A hugely important motivator for people and teams, this skill involves the Supervising Manager following the SPPIFI guidelines below.

Giving encouragement involves a lot more than just saying ‘well done’ every now and again. The following points illustrate how encouragement can be given in an on-going and creative way.

- **Specific** The encouragement should relate to one specific performance. For example, “Well done for looking after that customer so well, especially as you were also covering for your colleague”. Generalised compliments may be seen as insincere, for example “Good man/woman, well done”
- **Pure** Don’t mix encouragement with advice as this may lead to distrust, for example “Well done on that project, however, next time you might try.....”
- **Positive** If you mix encouragement with criticism the person tends to disregard the positive message and remember the negative. For example, “Keep up the progress you are making on the database but remember, if we have another failure like last week, you’ll have us all out of a job!”
- **Immediate** Try to offer encouragement immediately after the desired behaviour has occurred. A genuine “well done....” after a person has completed a task successfully for the first time can be worth a thousand words spoken at another time. Remember to reiterate this message at formal one-on-one meetings as well.
- **Frequent** Offer encouragement frequently, particularly at the early stages of a person’s development, when they need it most.
- **Irregular** Try not to fall into a predictable pattern when giving encouragement; it may seem that you have programmed yourself to do so. Don’t just leave it to staff meetings or one-on-one meetings, for example.

Giving Advice

Advice should typically be given to a person before they set about a task, or can be given immediately after it has been completed in order to correct critical errors. Remember that everyone is different and will set about achieving a task in a different way, so don’t be too prescriptive, and empower the individual to work on their own initiative.

The following are the main points to consider when giving advice.

- **Describe current performance.** State clearly what you determine the current performance or practice to be. Make sure to allow the other party to express their opinion too.
- **State the desired performance** Say what should be happening and why. Is it a rule, policy, or a guideline? Emphasise the benefits to the person or group in changing to the desired performance.
- **Keep your advice pure** If you mix your advice with encouragement or other talk about things well done, people may disregard your advice. For example, “Overall you are doing an excellent job! However, there are a few areas where major discrepancies have been noted.....”
- **Limit your scope** If you try to give too much advice at once the overall message may be muted. Ascertain if the receiving party has understood the advice and resolved to improve before moving on to the next topic.
- **Ask for feedback.** Always ask for feedback too, it should be a two-way street, and give an opportunity for any questions or clarifications.

Effective Questioning

Asking questions and actively listening to the response gives the Supervising Manager great insight into what’s going on ‘on the floor’ or ‘at the coalface’. Knowing the types of questions available to them and knowing when to use them requires practice but is well worth the effort and time.

Open Questions

The open questioning technique referred to earlier can often be prefaced with ‘Tell me’, ‘Explain’, and ‘Describe’ to soften the effect of the question. For example, “So, tell me how you’ve been getting on with the new process?” is a useful format in a management context.

Advantages

- Establishes the facts
- Allows the other person to express their view

- Builds rapport and shows that you are interested
- Allows you to clarify your understanding

Disadvantages

- Can appear intrusive (especially the question ‘Why.....?’)
- May cause the other person to give too much information

Closed questions

Closed questions can usually be answered with a ‘yes’ or ‘no’ and are designed to get specific answers. For example, “Are you happy with that?”, or “Is there anything else?”

Advantages

- Puts you in control of the situation
- Helps to obtain specific facts quickly
- Allows you to test your understanding
- Allows you to gain agreement

Disadvantages

- Does not allow the other person to give a detailed response
- Does not encourage two-way flow of information
- Can discourage dialogue
- Does not allow the other person to express their view

Limiting Questions

A limiting question is one that gives the other person a choice of answers. For example, “Would you like to meet on a fortnightly or monthly basis?”

Advantages

- Useful to gain agreement when time is tight
- Gives the person a choice that is controlled by you

Disadvantages

- Limits the choice of reply

-
- Does not allow full details to emerge

Leading Questions

A leading question is one in which the answer is in the question. For example, “You will get that report to me tomorrow, won’t you?”

Advantages

- Useful for gaining clarity and understanding
- Useful for reminding the person what they have to do

Disadvantages

- Can appear to be manipulative
- May seem to be trying to force the person to say ‘yes’

Note: Sometimes we think we have the answers to questions we ask. If we are ineffective at asking questions, we tend to ask a lot of closed questions. This can lead to us making assumptions and getting the response we expect!



Learning Activity:

Write examples of Open questions, and Closed questions.

The Funnel Technique

The open, probing and closed questioning techniques can be used in conjunction to form a funnel approach to a subject. This is highly useful where specific detail is required; for example, a Supervising Manager may have to interview a customer regarding a complaint, or an employee who is taking a grievance, or conduct an accident report after a safety incident.

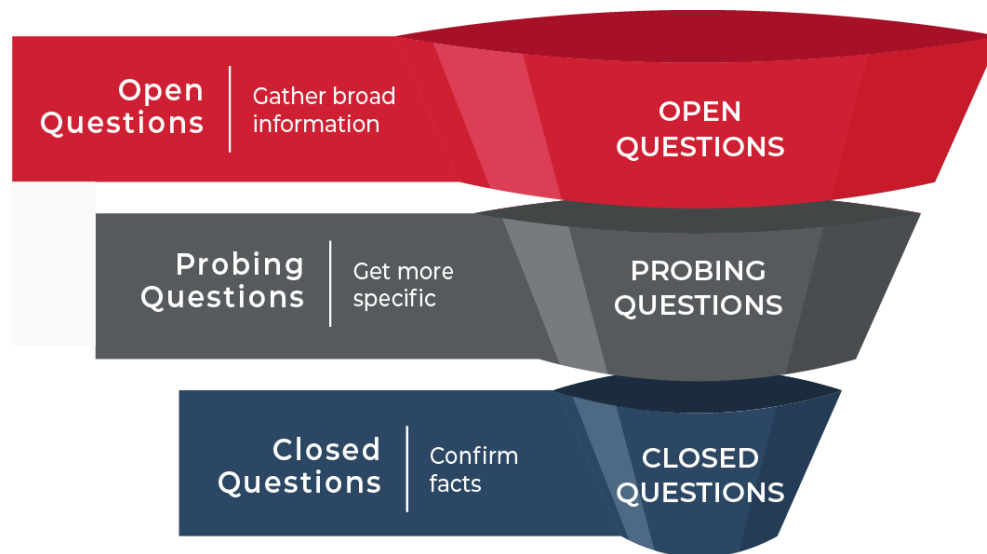


Figure 1.9 The Funnel Technique

By asking the right questions you can:

- Find out exactly what the person is trying to say
- Find out more about the background to the situation
- Identify the real opinions and needs of the person
- Ensure you have understood what the person has said



My notes on Effective Communication

Emotional Intelligence

There are many different versions of emotional intelligence, along with varying definitions and attributes. In short, emotional intelligence is a combination of self-awareness and self-regulation that affects communication, motivation, social skills and empathy.

When it comes to Supervisory Management, emotional intelligence is essential. When all parties have a high degree of self awareness and self-regulation, communication flows smoothly, allowing Management to be facilitated successfully. On the other hand, low emotional intelligence can serve as an inhibitor if they lack self-awareness or are highly resistant and disruptive.

Emotional intelligence is primarily based around self barriers and enablers;

Examples of enablers;

- **Creating the right culture** - Many organisations talk about really valuing teamwork but the reality is somewhat different. Creating a right culture is about establishing an environment where people who work in teams are recognised, supported and encouraged for their efforts and achievements.
- **Encourage finding solutions** - It is really easy to jump in and solve problems for others. After all, it stops you being held up and gets the problem off their plate. If a Supervisory Manager encourages individuals to find their own solutions, they encourage positive working ethics and behaviours.
- **Failure** - Nothing of any significance is ever achieved without some degree of balanced risk taking. With balanced risk taking comes some risk of failure and you need to be willing to accept that there will be some element of failure.

Examples of barriers;

- **Belief and Self-Awareness** - Everyone has a belief system, whether they are aware of it or not. A Supervising Manager should be clear on what their own belief system is, and understand that the Coachee has one too, though it may differ completely. As they begin to understand their belief system, they will inevitably begin to ask if the Supervisory Managers are acting in their best interests. If they find that it is not, then it may be time to choose another.
- **Self-Esteem** - Furthermore, a Supervising Manager must look out for the Coachee's self-esteem, which can be a factor in their overall well-being, and therefore can be a factor in their ability to achieve their goals, or indeed to identify suitable goals.

Perception and Reality – the Jo-Hari Window

Each person is a mystery, partly known and partly unknown. This model, designed by Joe Luft and Harry Ingram in the University of California in 1955, helps us to understand how we can grow in self-knowledge and how we can build deeper trust with others by sharing knowledge of self and seeking feedback.

The window represents the self; the whole person. The four panes of the window can be described as follows:

- **Free** - The part of yourself which is known to you and to others. It is the area of mutual sharing.
- **Hidden** - That part of yourself which is known to you, but not shared with others. What is hidden may best remain hidden. But it might also clear the air and build trust and make teamwork easier if more of yourself were known and shared.
- **Blind** - That part of you which is known to others, but unknown to you. The tone of your voice, a conflict in which you are involved, a good trait of which you are not aware – all may be in this area.
- **Mystery** - That part of yourself which is unknown to others and also unknown to you. Here are talents and abilities which you do not yet know you have, and others have never seen. But they are part of you nevertheless and may one day come to the surface.

Known to Others	Free	Blind
	Hidden	Mystery
Unknown to Others	Known to Self	Unknown to Self



Learning Activity:

Answer the following questionnaire by placing a cross that corresponds to you answer in the column below:

Rather true: If you think or act this way most of the time

Rather false: If you don't agree or rarely do what is described

No.	Item	Rather True	Rather False
1	I often say 'yes' when I really want to say 'no'		
2	I defend my rights without infringing those of others		
3	I prefer to hide my thoughts and feelings if I don't know the person well enough		
4	I'm rather authoritarian and decisive		
5	It is usually easier and smarter to act through a middleman than to act directly		
6	I'm not afraid to criticise and tell people what I think		
7	I don't dare refuse tasks that clearly don't fit my strengths and skills		
8	I'm not afraid to give my opinion, even when facing hostile interlocutors		
9	Where there is a debate, I prefer to stand back and see what will happen		
10	I'm sometimes accused of contradicting myself		
11	It is hard for me to listen to others		
12	I know how to get close to influential people; this has been of much use to me in the past		
13	I'm considered smart and clever when it comes to relations		

14	I communicate with others based on trust rather than domination or calculation		
15	I prefer not to ask the help of my colleagues, as they might think that I'm not competent enough		
16	I'm shy and I feel stuck whenever facing an unusual situation		
17	I'm said to fly off the handle easily; I get angry and others laugh		
18	I'm comfortable with face-to-face interactions		
19	I often pretend; how else can you manage to get what you want?		
20	I'm talkative and I tend to interrupt others without noticing it in time		
21	I'm ambitious and I'm willing to do whatever it takes to get to where I want		
22	In general, I know who I need to see and when; this is important if you want to succeed		
23	In case of disagreement, I look for realistic compromises on the basis of mutual interests		
24	In an argument, I prefer to put my cards on the table		
25	I tend to procrastinate what I do		
26	I often walk away from a job without finishing it		
27	In general, I present myself as I am, without hiding my emotions		
28	It takes a lot to intimidate me		
29	Intimidating others is often a good way to take power		
30	When I get cheated on, I know how to take my revenge		
31	To criticise someone, it is effective to blame them for not following their own principles.		

32	I know how to secure personal advantages thanks to my resourcefulness		
33	I'm able to be myself, while being socially accepted at the same time		
34	When I don't agree, I try to make my opinion clearly heard		
35	I'm always concerned not to annoy others		
36	It's hard for me to take a side or choose		
37	I don't like to be the only one with a different opinion in a group: In this case I prefer to keep quiet		
38	Public speaking does not intimidate me		
39	Life is a constant struggle with changing balance of powers		
40	I'm not afraid to take on dangerous and risky challenges		
41	Entertaining conflicts can sometimes be more effective than soothing tensions		
42	Putting cards on the table is a good way to build confidence		
43	I'm a good listener and I don't interrupt people when speaking		
44	I always go to the end of what I have decided to do		
45	I'm not afraid to express what I'm feeling		
46	I know how to bring people to my ideas and make them acceptable		
47	Using a bit of flattery is still a good way to get what you want		
48	It can be difficult for me to keep my speaking time under control		
49	I know how to make ironic remarks		
50	I am friendly and easygoing, but sometimes I get a little exploited		

51	I would rather observe than participate		
52	I prefer to be behind the scenes than to be at the forefront		
53	I don't think that manipulation is an effective solution		
54	One should not be too quick in revealing one's intentions, this is clumsy		
55	I often shock people with my propositions and thoughts		
56	I would rather be a wolf than a lamb		
57	Manipulating others is often the only practical way to get what you want		
58	I know how to protest effectively in general, without excessive aggression		
59	I think that problems cannot be effectively addressed without seeking the roots of what caused these problems		
60	I don't like others to think ill of me		

Correction table

The items of the questionnaire all correspond to an example of a passive (flight), aggressive (attack), manipulative or harmonious assertiveness. The table below indicates their distribution according to the 4 considered attitudes. Every time that you answered “Rather true” to a given question, add 1 point to the corresponding attitude. The total score is indicative of your tendency to adopt the corresponding attitude.

Passive Attitude (flight)		Aggressive Attitude (attack)		Manipulation		Harmonious Assertiveness	
1		4		3		2	
7		6		5		8	
15		10		9		14	
16		11		12		18	
17		20		13		23	
25		21		19		24	
26		28		22		27	
35		29		31		33	
36		30		32		34	
37		39		41		38	
50		40		42		43	
51		48		46		44	
52		49		47		45	
59		55		54		53	
60		56		57		58	
Total		Total		Total		Total	

Understanding your Results

This questionnaire helps you to understand how you communicate with others. There are no right or wrong scores, but knowing how you tend to approach conversations is a very useful supervisory skill.

- A high score in Passive Attitude (flight) indicates that you tend to shy away from difficult conversations and avoid confrontation.
- A high score on Aggressive Attitude (attack) indicates the opposite; you tend to treat difficult situations in terms of attacking or defending yourself. Others may view such conversations in the same way - as attacks that they need to defend against.
- A high manipulation score indicates an unwillingness to directly address difficulties with others, instead relying on indirect methods of achieving your goals. With a passive attitude, problems tend to go unresolved and can lead to more serious issues. An aggressive attitude can mean people stop communicating with you, leaving you unaware of issues in your department. A manipulative attitude can confuse staff and cause frustration.
- A high Harmonious Assertive score indicates that you can make requests of staff, make yourself understood and engage with taking account of their individual perspective. Check back on the answers that fall under Harmonious Assertive to see what this approach looks like, and make use of the feedback techniques covered in the Staff Appraisals sections to help in this regard.



My notes on Emotional Intelligence

Building and Engaging Effective Teams

Before building a team, it's important to understand the purpose of the team. In general, teams are interdependent groups of employees who unite around a particular task, project or objective.

This can have a variety of applications. Teams might be brought together to bridge a gap between departments or they might be brought together for short-term projects or as permanent or long-term approaches to achieving specific goals.

A team with a clear purpose organises different people with different goals and plans into a cohesive whole. When successful, it funnels the energy of team members for the overall good of the organisation.

To reach this level of success with your team, you must identify your short- and long-term goals and the skills necessary to achieve those goals. From there, you can begin identifying the right people to recruit for your team.

One of the first steps is to hire the highest ranking member of the team first. You want this person to help you put together the right group of people and build an appropriate culture.

Culture

If you truly value and want to encourage teamwork and collaboration, your organisation's culture must support your employees in practicing these skills. You need to take the actions necessary to create a work environment that expects, fosters, rewards and recognises teamwork.

Your work systems and approaches must support collaboration with a reduced emphasis on individual advancement.

Better Relationships

Have you ever wondered why some teams are effective and others are dysfunctional for the life of the team? The effective teams have figured out the essentials of interpersonal communication dynamics and relationships.

They are clear about the purpose of the team and about each other's roles on the team. Further, the team members have figured out how to assess how they are performing as a team constantly—and they check progress and relationships frequently.

Employee Empowerment

One of the fundamental needs in an environment that fosters teamwork and collaboration is empowered employees. They act independently and require minimal direction. Supervising Managers in organisations say they want employee empowerment, but they act in ways that undermine the ability of employees to act.

Secrets of Great Communicators

Another critical factor in team success is effective communication. Emphasise the communication techniques that will help you build teamwork and camaraderie with your coworkers.

These techniques zero in on the effective interpersonal behaviors that build the team. If all team members practice the secrets of great communicators, then a supportive teamwork environment is assured.

How to Create Habits

In the normal course of working with each other, team members develop particular ways of interacting and accomplishing work. They fall into habits and patterns around behaviors such as keeping commitments, meeting deadlines, planning next steps, and decision making.

Some of these habits and patterns serve the team well—and some of them undermine the team's success. Given that a team culture and norms will form in a planned or unplanned way, take the lead and have the team determine what kinds of rules and guidelines will best serve their efforts.

Keys to Team Success

Teams can benefit from team-building activities focused on helping groups of employees come together as one. There are myriad ways for team-building activities to go wrong, however, and not produce your desired outcomes.

One of the most important factors is follow-up. An activity should be designed to achieve a specific outcome, then that desired outcome should be reinforced in subsequent meetings.

Employee engagement is more than just knowing whether someone likes their job or not. Measuring employee engagement lets you know how committed they are to the business and its success. It tells you how motivated they are and how emotionally invested they are in the work they are doing.

For an employee to be engaged, they are motivated to work hard towards a common goal that is in line with the company's vision. They will be committed to the values their organisation represents. Engaged employees will have a clear view and understanding of the objectives of the work they are doing.

Understanding the level of engagement is the first step in utilizing this knowledge to your benefit. The next step is working on improving employee engagement within the organisation or business. As a Supervisory Manager, creating a workforce that is not just happy, but engaged and motivated to produce, will clear one hurdle on the path to success.

Going beyond the basic employee engagement definition, Supervising Managers should know that there are two primary focuses of this practice. Not only should you understand their level of engagement with the company, but also with the Supervising Managers. The latter is a look at how these employees feel about their direct superiors and whether they feel they are treated fairly.

Employees with higher levels of engagement with their Supervisory Management tend to feel they are getting direction on the work they do, and feedback on their performance. These employees will have a mutual feeling of respect with their Supervising Managers, which also lends to the sense of being a valued part of the company.

Organisations that implement an employee engagement strategy can most likely say that their workforce has faith in their leadership and they believe the company acts in a fair and respectful manner. When high levels of employee engagement with the business itself are partnered with observant and caring Supervising Managers, all facets of your business increase. It allows for an increase in production, elevated customer satisfaction, and worker competency to be at an all-time high.

The idea behind maintaining or improving the number of engaged employees is based on research and studies that have been created to show just how beneficial it can be. Before discussing how you can achieve these results, look at some of the benefits.

Engaged employees are likely to help increase profit revenues every year. A study by the Workplace Research Foundation has found that by investing in your employee engagement by merely 10%, profits can increase by more than €2000 per employee. The same study also found that employees who are highly engaged are more likely to increase their productivity, often as much as almost 40%.

The benefits of engaged employees have a trickle-down effect throughout the entire company. Those who are showing up with feelings of pride and motivation to work provide a higher quality service to your customers. When customer satisfaction is high, profits tend to rise. In turn, shareholders received a better return on their investments.

Fostering a workplace environment where the employees feel supported and conduct their responsibilities within a team-focused atmosphere is good for the entire company. A business that has employee engagement strategies tends to have less sick days to account for. Companies with engaged employees can expect to see a reduction in the number of days of work missed by an average of four days per employee per year.

Those who come to work every day, do so because they believe in what they are doing. They feel as though they have the backing of the company they are doing it for and want to show up and work hard. They don't arrive every day just to collect a paycheck. They have an emotional commitment to the work, which drives them to help the company reach its goals.



Further Learning:

If you would like to learn more about how to motivate and manage others, DCM Learning also provide a QQI Effective People Management course dedicated to the theory behind strong management skills and the practical aspects of being a motivational leader. Our team will be happy to assist you with more information.



My notes on Building and Engaging Effective Teams

Motivation Practices in Supervisory Management

The subject of motivation has been long discussed, many papers and studies have been written and performed, and several theorists, such as Herzberg have published works that have been tried and tested in relation to motivation in the workplace. Maslow's Hierarchy of Needs has been applied to the work setting, and a Supervisory Manager should understand the basic principles of both theorists and be able to apply them in practice.

A simpler approach to Motivation can also be looked at in terms of the 'carrot and stick' approach; again, a good Supervisory Manager will know when to apply both in the work setting. Understanding another person's motivators, and acting positively on them, can assist a Supervisory Manager greatly in getting the most from their team.

However, a note of warning, motivation comes from within the person, so it's not always within the scope of the Supervisory Manager to motivate.

For example;

If an employee is actively seeking employment elsewhere because they have realised that this is just not the job for them, it will be difficult if not impossible to have them go 'above and beyond' in their work; they may even have performance issues where the disciplinary procedure is the only way to go i.e. a 'stick' approach. The job of a Supervisory Manager is to try to provide a motivating environment; this can be best achieved by being a good Supervisory Manager, being 'firm but fair', being authoritative when required, and consultative at other times. The application of good management practice, as discussed and practiced on this course is perhaps the most motivating thing a Supervisory Manager can do.

Maslow's Hierarchy of Needs

There are literally thousands of studies, theories, tools and models in the area of personal development, management and organisational behaviour. One of the most tried and tested models is Maslow's Hierarchy of Needs, and it is useful to be able to apply this in the workplace, as well as in life itself. It can help you to understand the motivation of your employees, their actions and other behaviour; equally it might help explain that of other Managers, your own boss, competitors and other stakeholders. The diagram below shows how people are motivated based on how their needs are met at various levels, such as food and water, to the higher levels where a sense of meaning or feeling part of a team might be a satisfaction for those needs.

The basic premise of Maslow's work is that humans generally need to have their needs fulfilled at the lower levels before they can attempt to meet their needs at the higher levels.

Translating this to the workplace, it suggests that a person's ability to thrive is based on the fulfilment of their needs. For example, an organisation might provide such benefits as subsidised healthy food, water via the infamous water coolers, or health insurance.

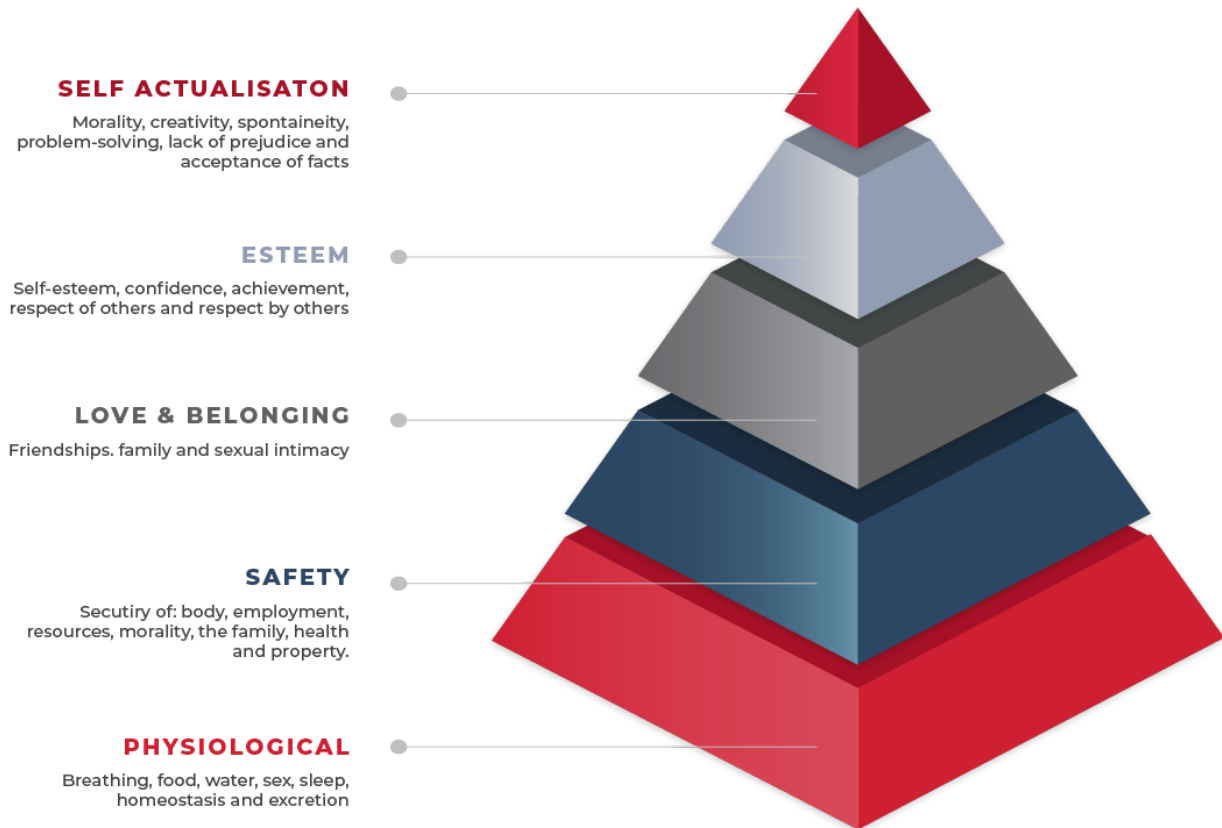


Figure 1.10 Maslow's Hierarchy of Needs

Furthermore, such activities as outside team building events or social nights out can satisfy a need to feel part of a team, to belong. Conversely the Manager should be aware that such interventions might not succeed if the person doesn't have lower level needs met.

Some examples:

- You might not be able to motivate someone to achieve their sales target (level 4) when they're having problems with their marriage (level 3).
- You can't expect someone to work productively as a team member (level 3) when they're having their house repossessed (level 2).

People are motivated by many and various things, depending on where they are in terms of Maslow, and also their values and principles, their upbringing, and other factors.

People work better if they feel a commitment to what they are doing. The most effective Supervisory Managers are those who enable their staff to make that connection. Well-motivated people are those who have clearly defined goals which will satisfy their needs and who take the necessary actions to achieve the goals.

Herzberg's Two-Factor Theory

Herzberg (1968) further developed Maslow's model. He described the primary needs as potential **dissatisfiers**, or hygiene factors. The secondary needs are potential **motivators**.

Herzberg argued that good performance leads to job satisfaction. Therefore, Supervisory Managers had to address both the hygiene factors and motivators. He listed the basic hygiene factors (which, when not met, cause us to be dissatisfied) as:

- Company policy and administration
- Supervision
- Working conditions
- Salary
- Relationship with peers/subordinates
- Personal life, and
- Status

Most of these have in common the fact that they are **extrinsic**, i.e. coming from outside the person.

Herzberg's list of motivators includes:

- Achievement
- Recognition
- Work itself

- Responsibility
- Advancement, and
- Growth

Motivators are generally **intrinsic**, i.e. coming from inside the person. Herzberg's second list is most closely related to self-motivation and performance. The role of a Supervisory Manager is to create the conditions where staff are able to develop their full potential.

Expectancy Theory

Expectancy theory (Porter and Lawler, 1968) suggests that certain factors influence effort and therefore performance:

- the value of rewards to individuals where the rewards fit with the individual's needs
- expectations about the extent to which their efforts will produce a worthwhile reward
- personal ability
- perceptions about the role - where a close fit exists between the organisation and the individual's perception of the role, the outcome is positive.

Expectancy theory acknowledges that different workers have different needs and will try to satisfy these in different ways. Using this theory, it is essential to determine what drives a person in the workplace and what they expect in return for their efforts. For example, it may not be useful if the reward offered for work is not something the worker needs or if the person doesn't believe that their efforts will be noticed enough to get them a reward. Expectancy theory is subjective and depends on the individual worker and their preferences and beliefs.

Remember that one of the most named motivators by employees is being thanked by their Supervisory Manager for a job well done. Recall the rules of giving encouragement discussed earlier and apply it regularly. It must be genuine of course, and deserved; as the saying goes, 'false praise is no praise'.



My notes on Motivation in Supervisory Management

Performance Management

Performance management is the process of ensuring that a set of activities and outputs meets an organisation's goals in an effective and efficient manner. Performance management can focus on the performance of an organisation, a department, an employee, or the processes in place to manage particular tasks. Performance management standards are generally organised and disseminated by senior leadership at an organisation and by task owners, it can include specifying tasks and outcomes of a job, providing timely feedback and coaching, comparing employee's actual performance and behaviors with desired performance and behaviors, instituting rewards, etc.

Performance management principles are used most often in the workplace and can be applied wherever people interact with their environments to produce desired effects—schools, churches, community meetings, sports teams, health settings, governmental agencies, social events, and even political settings.

Managers and Supervisors use performance management to align company goals with the goals of teams and employees in an effort to increase efficiency, productivity, and profitability. Performance management guidelines stipulate clearly the activities and outcomes by which employees and teams are evaluated during performance appraisal.

Benefits of Performance Management

Managing employee performance and aligning objectives facilitates the effective delivery of strategic and operational goals. Research has found that employees who receive regular feedback on their strengths are on average 8.9% more profitable.

- **Highlights training needs** - Introducing more frequent reviews, whether formal or informal, can help to better understand the skillset of each employee. Providing an open forum for employees to share and discuss their roles regularly can help to identify training needs before they have an impact on productivity.
- **Boosts morale** - Everyone likes being told they're doing a good job. Performance reviews provide the perfect setting to formalise and document praise. But reviews shouldn't just be about setting objectives for the coming quarter. It should also provide an environment for a line manager to recognise individuals on their team.

Happy employees are productive employees. A staggering 69% of employees say they would work harder if they felt their efforts were being recognised. No longer is a payslip enough recognition, regular feedback and reviews are key to maintaining employee morale.

- **Identifying the right employees for promotions** - Regular reviews are a great way to better understand the performance of your employees and their suitability for promotion.

All employees will be going through the same performance review process. As such Supervisory Managers and supervisors can better evaluate them for promotion, salary increases or transfer in the same, consistent manner. Not only will this help to ensure the right employee is chosen for promotion; but will allow for more transparency and fairness in your selection process.

- **Supports workforce planning** - Discussing current and future workloads with employees can help to identify any requirements for future staff. What's more, if your employees are struggling with their current workloads; provisions can be made to share the load amongst other team members and prioritise the most important tasks.
- **Increases employee retention** - Research has found that companies who implement regular employee feedback have turnover rates that are 14.9% lower than for employees who receive no feedback. High staff turnover could have a major impact on your company. Not to mention the impact on staff morale and simply getting things done.

Organisational Development

In organisational development, performance can be thought of as Actual Results vs Desired Results. Any discrepancy, where Actual is less than Desired, could constitute the performance improvement zone. Performance management and improvement can be thought of as a cycle:

1. Performance planning where goals and objectives are established
2. Performance coaching where a Supervising Manager intervenes to give feedback and adjust performance
3. Performance appraisal where individual performance is formally documented and feedback delivered

In companies many people equate performance management with performance appraisal. This is a common misconception. Performance management is the term used to refer to activities, tools,

processes, and programs that companies create or apply to manage the performance of individual employees, teams, departments, and other organisational units within their organisational influence. In contrast, performance appraisal refers to the act of appraising or evaluating performance during a given performance period to determine how well an employee, a vendor or an organisational unit has performed relative to agreed objectives or goals, and this is only one of many important activities within the overall concept of performance management.

At the workplace, performance management is implemented by employees with Supervisory roles. Normally, the goal of managing performance is to allow individual employees to find out how well they had performed relative to performance targets or key performance indicators during a specific performance period from their Supervisors and Managers.

An organisation wide 360 process that is integrated into its culture can be a powerful tool for communicating and instituting change, rapidly touching all members of the organisation when new markets, strategies, values and structures are introduced into the system.

Organisations and companies typically manage employee performance over a formal 12-month period (otherwise known as the formal company performance period).

The results of performance management exercises are used in:

- Employee development planning to select the most appropriate and suitable development intervention to improve employees' knowledge, skills and behavior
- Factual basis for compensation and rewards (pay raise & bonuses being the most common)
- Factual basis in consideration with other factors for mobility (Example: transfers and promotions)

Sample Performance Improvement Plan

Employee Name:

Title:

Department:

Date:

Performance in need of improvement: (List the goals and activities the employee will initiate to improve performance. Include [skill development](#) and changes needed to meet [work performance expectations](#).)

Target date for improvement:

Expected results: (List measurements where possible.)

Dates to review progress by the employee and supervisor:

Progress at review dates:

Employee

Signature: _____ Date: _____

Supervisor

Signature: _____ Date: _____



My notes on What is Performance Management

Assertiveness and Managing Conflict

Conflict often arises as the result of differing needs, opinions, goals, and priorities. Without a sound approach to conflict resolution, employees who are in conflict may become less inclined to work together and collaborate.

People may take different approaches to handling a challenging situation, but not every set of behaviors will be effective in the long run. You will be best served if you can assess the potential consequences of each approach to conflict management. Consider the following three approaches:

Evaluating conflict resolution behaviors

An aggressive approach to conflict management may damage your relationship with the other party. A passive approach to handling conflict may affect your credibility and put your reputation at risk. However, when conflict is managed assertively, it can have a positive impact and be used to your advantage in the workplace.

The different approaches to conflict management:

- **Aggressive Behavior (I win—You lose).** Opting to resolve a conflict in an aggressive manner may help you achieve your goals in the short term, but the approach will most probably cause alienation from others, feelings of frustration, bitterness, and isolation. Aggressive behavior is characterised by:
 - A need to express your feelings, needs, and ideas at the expense of others
 - Standing up for your rights, but ignoring the rights of others
 - Messages that are often delivered in a hostile and self-defeating manner

An aggressive approach harms relationships and diminishes trust.

- **Passive Behavior (I lose—You win).** You may choose to avoid the unpleasant situations caused by conflict. However, when you don't express your position, your needs are not met. This may lead to frustration and a buildup of anger.

Passive behavior is characterised by:

- Not expressing your own feelings, needs, or ideas
- Ignoring your own rights
- Allowing others to infringe upon them

- Inhibitions and self-denial that result in anxiety, disappointment, anger, and resentment

A passive approach ignores your needs and damages your credibility and reputation.

Assertive Behavior (I win—You win). An assertive response honors both you and others. You express your position, needs, and feelings in a respectful way and open a dialogue with the other person.

Assertive behavior can be characterised by:

- Expressing your feelings, needs, and ideas
- Standing up for your legitimate rights in ways that do not violate the rights of others
- Feelings of confidence and self-esteem and a reduction of conflict

Responding to conflict assertively increases the likelihood of achieving your goals. Even if the results aren't initially perfect, this approach leads to feelings of self-worth because you are being straightforward. Self-confidence improves and relationships become more open and honest.



Further Learning:

If you would like to learn more about managing conflict and skills to finding resolution, DCM Learning also provide a QQI Mediation course dedicated to the topic of conflict across a variety of contexts. Our team will be happy to assist you with more information.



My notes on Assertiveness and Managing Conflict

Personal Effectiveness and Time Management

Once you learn how to manage your time efficiently you won't have to worry about deadline pressure or stress in general anymore. As a result of managing your time wisely you'll be more productive and procrastinate less.

It always seems like there are not enough hours a day to get everything done, regardless of your job or industry. Some might constantly feel like they're behind. But what's the answer to that? Do we have to work more hours a day to keep up with our work? Certainly not. Nowadays people in our society like to be hyper-productive which means they are always trying to multitask (e.g. checking mails, running from desk to desk, making phone calls, running errands). But there are ways to manage your time more effectively.

Time Management Tips

- **Measure your results – not your time** - Simple and effective. We often focus on how long some tasks take us to complete while we should focus on what we accomplished in a day which also helps us to plan more effectively. One way of measuring results is to keep a list of tasks you've completed on each particular day. It is simple and will motivate you and allows you to focus on your accomplishments at work.
- **Set Priorities and focus on your goals** - Only if you know your goals and what you want to achieve so you can get there. You have to set priorities. This means that you have to be aware of which tasks are not important enough and can wait a little longer while you focus on the important tasks that need to be done.
- **Target to be early** - No matter how hard we try to be on time – sometimes we just run out of time and we can't manage to meet our deadlines. However, when you target to be early you will most likely manage to get your work done in time. Make sure you set deadlines that make sense because there is no point in setting deadlines and always pushing them back. If you set your deadlines a few days before you actually have to be done with the task you won't have to stress out about other things that will possibly get in your way.
- **Stop multitasking** - It often seems that people who multitask accomplish more but it is most certainly not the most efficient and productive way to get work done. Try to focus on one task and then start the next one. Switching tasks too often can lead to a decrease in your productivity and it will be hard to stay focused. Once you've completed your task move on to the next one.

- **Don't get distracted** - Your phone rings. Instant messages pop in. What else is distracting you at work? Nowadays we are able to be contacted 24/7, whether it's via the phone, email or social media chats. At times it can be very hard to stay focused on your actual work and you won't be able to concentrate on your tasks. Try to limit your time checking emails to a minimum and stay off of your phone during working hours. This will also allow you to get your tasks completed more efficiently without having to worry about distractions.
- **Track your time spent** - Sometimes you need to reflect on how well you spent your time at work. Are you planning efficiently or is there anything you could change in order to be more productive at work? Is there a need to re-organise something?.

Time tracking gives you an insight on what you could change for the better, how you could plan and work more efficiently. Sometimes smaller projects and tasks take up a lot of time and effort but are not profitable enough. It is time for you to begin to reflect whether you are spending your time well or not.¹³

¹³ "Employee Time Tracking Management Software | Workday."
<https://www.workday.com/en-us/products/payroll-workforce-management/time.html>. Accessed 25 Aug. 2020.



My notes on Personal Effectiveness and Time Management

Legislation and Industry Standards

A Supervisor must be aware of legislation covering all aspects of their area, as well as company policies. They must know how to interpret them or ask for clarification if unsure, for example from their Human Resource Department/Officer or HR consultant.

The legislative acts outlined below should have been applied to develop organisational policies and procedures, which are the rules and regulations of an organisation. Supervisors are required to have a working knowledge of these acts, and any other that would directly impact their role or organisation. A Supervisor is usually the first port of call to a member of staff with an issue or complaint, and they must know how to properly address it under the terms of the relevant policies and acts.

In Ireland, all organisations, their management, Supervisors, and staff at all levels are subject to Employment Law. This is a general-purpose area which encompasses the key legislations applicable within an Irish workplace.

From a person's interview for a position to their retirement perhaps many years later, there is legislation that is designed to both protect employees and indeed the employer, and encourage good practice.

These pieces of legislation and regulation should be incorporated into the company's policies and when implemented will ensure that everyone is treated fairly, with dignity and a work/life balance, in a place that is free from hazards and harassment.

Employment Legislation

Terms of Employment (Information) Acts 1994 & 2001

This act requires employers to provide all staff with certain information about their employment, such as

- a contract of employment,
- a job description,
- rate of pay, and
- hours of work.

This act is usually applied to compile workplace contracts and operational guidelines and policies. It is mandatory that all organisations use this legislation as the basis for their contracts, otherwise,

they may not be legally applicable or binding. The details within these areas may be subject to change in consultation with the employee.

For more information visit

https://www.citizensinformation.ie/en/employment/employment_rights_and_conditions/contracts_of_employment/contract_of_employment.html

Unfair Dismissals Acts, 1977 as amended

The purpose of the Acts is to protect employees from being unfairly dismissed from their jobs by laying down criteria by which dismissals are to be judged unfair and by providing an adjudication system and redress for an employee whose dismissal has been found to be unfair.

For more information visit

https://www.workplacerelations.ie/en/publications_forms/guide_to_the_unfair_dismissals_acts.pdf
https://www.citizensinformation.ie/en/employment/unemployment_and_redundancy/dismissal/unfair_dismissal.html

Minimum Notice and Terms of Employment, 1973

This Act provides that employees in continuous service with the same employer for at least 13 weeks are entitled to a minimum period of notice before an employer can dismiss them.

For more information visit

https://www.workplacerelations.ie/en/what_you_should_know/ending%20the%20employment%20relationship/minimum%20notice/

Organisation of Work Time Act, 1989

The Organisation of Working Time Act sets out statutory rights for employees in respect of rest, maximum working time and holidays. These new rights apply either by law as set out in the Act, in regulations made under the Act or through legally binding collective agreements.

For more information visit

https://www.citizensinformation.ie/en/employment/employment_rights_and_conditions/hours_of_work/working_week.html

Payment of Wages Act, 1991

The payment of wages act 1991 came into operation on 1st January 1992. It established for the first time a range of rights for all employees relating to the payment of wages.

https://www.citizensinformation.ie/en/employment/employment_rights_and_conditions/employment_rights_and_duties/employment_law_update.html

Employment Permits Acts 2003–2014

Most non-EEA nationals must have an employment permit to work in Ireland. The employment permits scheme is governed by the Employment Permits Acts 2003–2014.

There are 9 types of employment permit under the Employment Permits (Amendment) Act 2014. They include a General Employment Permit and a Critical Skills Employment Permit, which have replaced the work permit and Green Card permit respectively. The Act also provides that a non-EEA national without an employment permit, who took all reasonable steps to get one, may be allowed to take civil action against the employer to compensate them for work done or services rendered.

- General Employment Permit
- Critical Skills Employment Permit
- Dependant/Partner/Spouse Employment Permit
- Reactivation Employment Permit
- Contract for Services Employment Permits
- Intra-Company Transfer Employment Permits
- Internship Employment Permits
- Sport and Cultural Employment Permits
- Exchange Agreement Employment Permits

For more information visit the link below

https://www.citizensinformation.ie/en/employment/migrant_workers/employment_permits/overview_employment_permits.html

Children and Young Persons (Protection of Young Persons Employment Act 1996)

A child over 14 years of age may be permitted to do light work during school holidays provided it is not harmful to health, development or schooling or may be employed as part of an approved work experience or education programme

A child over 15 may also do such work for up to 8 hours a week during school term

Any child may be employed in film, theatre, sports or advertising activities under licence from the minister for enterprise, trade and employment.

An employer wishing to employ anyone under 18 must first require the production of their birth certificate. Before employing a child under 16 the employer must also get written permission from the parents or guardian.

The Act further provides for the setting of limits to the working hours of young people (i.e. 16 and 17 year olds), provides for rest intervals and prohibits night work.

As regards working hours, young people (16 and 17 Year olds) may not work for more than 8 hours in any day or 40 hours in any week.

Employers who employ young people under the age of 18 years of age must display a summary of the Act and give a summary of the Act to the Employee within 1 month of the commencement of employment.

For more information visit the link below.

<https://www.employerresources.ie/children-and-young-persons.html>

National Minimum Wage Act 2000

The National Minimum Wage Act became Law on the 1st April 2000. The Act applies to all employees, including full-time, part-time, temporary and casual employees. The following categories of employees are excluded from its provisions:

- Close relatives of the employer such as spouse, father, mother, son, daughter, brother and sister.
- Apprentices within the meaning of the Industrial Training Act 1967.

For more information visit the link below.

https://www.citizensinformation.ie/en/employment/employment_rights_and_conditions/pay_and_employment/pay_inc_min_wage.html

The Redundancy Payments Acts 1967-2007

A Redundancy situation arises where an employee's job ceases to exist, and the employee is not replaced for such reasons as:

- Rationalisation and Reorganisation.
- Not enough work available.
- Company Financial Difficulties.
- Company Closure.

The Redundancy Payments Acts place an obligation on employers to pay a “statutory redundancy entitlement” to redundant employees. The amount to be paid will depend on the employee's length of service and normal weekly earnings (gross weekly wage + average regular overtime + payment-in-kind up to a maximum weekly wage of €600 per week).

The Acts cover employees between the ages of 16 and 66 with 2 years (104 weeks) continuous service and who have been in employment insurable under the social welfare acts. Employees who have reached 66 Years and whose date of termination is on or after 8th May 2007 are now covered by the provisions of the Redundancy Payments Acts 1967 to 2007. This does not apply to part-time employees.

For more information visit the link below.

https://www.citizensinformation.ie/en/employment/unemployment_and_redundancy/redundancy_payments.html



My notes on Employment Legislation

Equality & Diversity Legislation

Employment Equality Acts 1998 – 2015

The Employment Equality Acts 1998–2015 outlaw discrimination in a wide range of employment and employment-related areas. These include recruitment and promotion; equal pay; working conditions; training or experience; dismissal and harassment including sexual harassment. The legislation defines discrimination as treating one person in a less favourable way than another person based on any of the following 9 grounds: Gender, Civil Status, Family Status; Sexual Orientation, Religion, Age, Disability, Race and Membership of the Traveller Community.

For more information about equality in the workplace visit
https://www.citizensinformation.ie/en/employment/equality_in_work/

Disability Act 2005

Like all employees, people with disabilities can bring a range of skills, talents and abilities to the workplace and there is a range of support to help them find and keep employment. There are a number of support schemes available to employers if a member of your staff acquires a disability or if you hire a new staff member who has a disability.

For more information visit
https://www.citizensinformation.ie/en/employment/employment_and_disability/working_with_a_disability.html



My notes on Equality and Diversity Legislation

Health & Safety Legislation

The Safety, Health, & Welfare at Work Act 2005

The Safety, Health and Welfare at Work Act 2005, which repealed and replaced the Safety, Health and Welfare at Work Act 1989 was brought in to make further provision for the safety, health and welfare of persons at work. This Act clarifies and enhances the responsibilities of employer's, the self-employed, employees and various other parties in relation to safety and health at work. The Act also details the role and functions of the Health and Safety Authority, provides for a range of enforcement measures that may be applied and specifies penalties that may be applied for breach of occupational safety and health.

For more information about safety in the workplace visit

https://www.hsa.ie/eng/Topics/Managing_Health_and_Safety/Safety,_Health_and_Welfare_at_Work_Act_2005/



My notes on Health and Safety Legislation

Leave Entitlement Legislation

Maternity Protection of Employment Act, 1994

Employees (including casual workers) who become pregnant are entitled to Maternity Leave, regardless of how long they have been working for the organisation or the number of hours worked per week.

For more information visit

https://www.workplacerelations.ie/en/what_you_should_know/leave/maternity%20leave/

Parental Leave Act, 1998 – 2019

Parental leave entitles parents to take unpaid leave from work to spend time looking after their children. Other statutory entitlements available for parents are maternity leave, adoptive leave, paternity leave and parent's leave.

For more information visit

https://www.workplacerelations.ie/en/what_you_should_know/leave/parental%20leave/

https://www.citizensinformation.ie/en/employment/employment_rights_and_conditions/leave_and_holidays/

Adoptive Leave Act 1995 & 2005

An adopting mother or a sole male adopter is entitled to avail of up to 24 weeks of adoptive leave from work beginning on the day of placement of the child.

An employee is entitled to avail of a period of up to 16 additional weeks of leave. This leave is available at the request of the employee and follows immediately on the period of adoptive leave.

For more information visit

<https://www.employerresources.ie/adoptive-leave-act-1995.html>

Force Majeure Leave 2015

Employees may avail of Force Majeure Leave with pay for unplanned, emergency reasons, where an immediate family member suffers an illness or injury and the employee's immediate presence with the injured party is absolutely indispensable.

For more information visit

<https://www.employerresources.ie/force-majeure-leave.html>

Sick Pay and Sick Leave

In general the matter of sick pay is not covered under employment rights legislation. A policy on sick pay and sick leave in individual organisations may be agreed as part of an employee's terms and conditions.

Where an Employees Contract of Employment includes a right to a sick pay entitlement as part of the terms of employment, a right to sick pay exists under contract law. If it is the norm for employees to be paid when absent through illness, a right to sick pay entitlements may be established through custom and practice.

For more information

<https://www.employerresources.ie/sick-pay--sick-leave.html>

Carer's Leave Act 2001

The Carer's Leave Act came into operation on 2nd July 2001. This legislation allows eligible employees the right to unpaid leave to look after someone in need of full-time care, during which time their employment rights will be protected.

Carer's leave of at least 13 weeks and up to 104 weeks may be applied for. This may be extended to 208 weeks in respect of two persons in need of care in certain circumstances.

Employers cannot refuse this leave.

For more information

<https://www.employerresources.ie/carers-leave-act-2001.html>



My notes on Leave Entitlement Legislation

Data Protection

General Data Protection Regulation 2018 (GDPR)

The GDPR is Europe's new framework for data protection laws and replaces the previous Data Protection Act 2018. The mutually agreed General Data Protection Regulation (GDPR) came into force on May 25, 2018, and was designed to modernise laws that protect the personal information of individuals.

For more information about data protection visit

https://www.citizensinformation.ie/en/government_in_ireland/data_protection/

<https://www.dataprotection.ie/en/organisations>



My notes on Data Protection Legislation

Bullying & Harassment Legislation

The Employment Equality Acts 1998-2015 place an obligation on all employers to prevent harassment in the workplace. Under this law, employees are entitled to bring a claim to the Workplace Relations Commission and the employer may be obliged to pay compensation if an employee is harassed by reason of:

- Gender
- Civil status
- Family status, for example, as a parent of a child
- Sexual orientation
- Age
- Disability
- Race
- Religious belief
- Membership of the Traveller community

For more information visit

https://www.citizensinformation.ie/en/employment/equality_in_work/bullying_in_the_workplace.html



My notes on Bullying and Harassment Legislation

Disciplinary & Grievance

The need for satisfactory standards of performance, attendance and behaviour from employees is essential for all organisations. A fair and comprehensive disciplinary procedure is necessary to deal with an employee who deviates from these standards.

The primary purpose of such a process is not just to impose disciplinary action on an employee but also to ensure an employee is made aware of any shortcomings in regard to their performance, attendance or conduct.

All Employers must ensure that they operate a fair disciplinary policy which has regard to the rights of employees under both the Code of Practice on Disciplinary and Grievance Procedures and the Unfair Dismissals Acts.

The Unfair Dismissals Acts, 1977-2001 set out various grounds of dismissal, which, when properly followed, can be held to be fair.

The Unfair Dismissals Acts, 1977-2001

Aggrieved employees have a choice of legal remedy:

An action for wrongful dismissal in the civil courts where breach of contract or breach of constitutional rights is alleged. There is a 6-year limitation period and damages are unlimited;

or

A claim within 6 months (12 months in “exceptional circumstances”) of the date of dismissal to the Employment Appeals Tribunal or Rights Commissioner under the Unfair Dismissals Acts 1977-2001.

For more information visit

<http://www.irishstatutebook.ie/eli/1977/act/10/enacted/en/html>



My notes on Disciplinary and Grievance

Industrial Relations

Industrial Relations commonly denote the relationship between management and employees. The Irish Constitution guarantees the right of citizens to form associations and unions. The main legislation covering Industrial Disputes is the 1990 Industrial Relations Act. This act provides that Trade Unions and their members are immune from prosecution where an action is “in contemplation or furtherance of a trade dispute”.

Before the immunities apply a number of conditions must be met:

- There must be a trade dispute as defined in the legislation
- The action must be of a type permitted by the legislation.
- The proposal to take action must not have been rejected in a ballot of the workers concerned.
- If the dispute concerns an individual worker all procedures used in employment must have been used and exhausted.

A trade dispute is defined as: *“Any dispute between employers and workers which is connected with the employment or non-employment, or the terms or conditions of, or affecting the employment of any person”.*

As of 1st October 2015, the Workplace Relations Commission has been the first port of call for employment claims. The Workplace Relations Commission (WRC) subsumed the 5 previous bodies (Labour Relations Commission, National Employment Rights Authority, the Equality Tribunal equates to the Employment Appeals Tribunal and the Labour Court into one). This structure was intended to provide a more streamlined service and be less arduous for both employers and employees alike.

The Workplace Relations Commission (WRC)

The Workplace Relations Commission (WRC) is an independent, statutory body which was established on 1st October 2015 under the Workplace Relations Act 2015 (No. 16 of 2015).

It assumes the roles and functions previously carried out by the National Employment Rights Authority (NERA), Equality Tribunal (ET), Labour Relations Commission (LRC), Rights Commissioners Service (RCS), and the first-instance (Complaints and Referrals) functions of the Employment Appeals Tribunal (EAT).

The Workplace Relations Commission (WRC) has responsibility for

- Promoting the improvement of workplace relations, and maintenance of good workplace relations,
- Promoting and encouraging compliance with relevant enactments,
- Providing guidance in relation to compliance with codes of practice approved under Section 20 of the Workplace Relations Act 2015,
- Conducting reviews of, and monitor developments as respects, workplace relations,
- Conducting or commissioning research into matters pertaining to workplace relations,
- Providing advice, information and the findings of research conducted by the Commission to joint labour committees and joint industrial councils,
- Advising and appraising the Minister in relation to the application of, and compliance with, relevant enactments, and
- Providing information to members of the public in relation to employment

The Commission's core services include the inspection of employment rights compliance, the provision of information, the processing of employment agency and protection of young persons (employment) licences and the provision of mediation, conciliation, facilitation and advisory services. The Commission has a board consisting of a chairperson and 8 ordinary members appointed by the Minister for Business, Enterprise and Innovation.¹⁴

For more information visit the links below.

<https://www.workplacerelations.ie/en/>

<https://www.irn.ie/>

¹⁴ "About the WRC - Workplace Relations Commission."
<http://www.workplacerelations.ie/en/what-we-do/wrc/>. Accessed 25 Aug. 2020.



My notes on Industrial Relation Bodies

Trade Unions and Workers Committees

Unions are an important source of information in relation to employment issues and can also negotiate with employers for better pay and conditions. Many organisations nowadays have some union presence, or a representative body of workers to negotiate with upper management.

The role of a Supervisor in these may be to be fully involved or to act as an intermediary. In some industries, such as Seafarers, membership of a union is obligatory, however, in most it is voluntary and staff may not be compelled to join a union or workers committee.

These committees interact with management to represent the concerns and interests of workers and draw a selection of representative members of staff for their numbers. Their purpose is to represent staff at a management level, but Supervisors may also act in this capacity through effective communication with their staff. The core purpose of a trade union or workers committee is to faithfully represent the staff from whom they are drawn or elected to represent.

Union Recognition

Employees in Ireland have a right under the constitution to join a trade union; however he/she cannot insist that his/her employer recognise the union as the right to join, is a personal right. An employee also has a right not to join a trade union under European law as the European Convention on Human Rights has been held to contain a 'negative right of association'.

Even if the contract of employment does not contain a specific contractual provision that the employee's trade union will be recognised there may be an implied right recognition where the employer is dealing with, or had dealt with, that trade union.

Recognition of the trade union could also be implied as a result of a course of dealing between the employer and trade union or as a result of custom and practice in that workplace.

Right to Strike

In Ireland there is no general right to strike; rather, there is a freedom to strike in certain circumstances which confers immunities from legal restrictions on industrial actions and strikes.

Trade Disputes

Trade disputes are provided for under the Industrial Relations Acts and are very broadly defined but Irish employment law is still based on the individual contract and trade unions are seen as supporters and advisers rather than leaders of collective action.

In the Industrial Relations Acts, 1946 to 1976, “worker” means any person aged 15 years or more who has entered into or works under a contract with an employer, whether the contract be for manual labour, clerical work or otherwise, whether it be expressed or implied, oral or in writing, and whether it be a contract of service or of apprenticeship or a contract personally to execute any work or labour including, in particular, a psychiatric nurse employed by a health board and any person designated for the time being under subsection.

But does not include;

- A person who is employed by or under the State,
- A teacher in a secondary school,
- A teacher in a national school,
- An officer of a local authority,
- An officer of a vocational education committee, or
- An officer of a school attendance committee.¹⁵

Irish Congress of Trade Unions (ICTU)

The Irish Congress of Trade Unions is the single umbrella organisation for trade unions in Ireland, representing a range of interests of employees, both in the Republic and Northern Ireland. There are 56 unions affiliated to congress north and south of the border. The role of Congress is to:

- Represent and advance the interests of working people.
- Negotiate with Government and Employers when mandated to do so by member unions.
- Promote the principles of Trade Unionism.
- Provide Information, Advice and Training to Unions and members.
- Assist with the resolution of disputes between unions and employers.
- Regulate relations between unions and rule on inter union disputes.

¹⁵ "Employer/Union Rights and Obligations | National Labor"
<https://www.nlrb.gov/about-nlrb/rights-we-protect/your-rights/employer-union-rights-and-obligations>.
Accessed 25 Aug. 2020.

SIPTU

The Services, Industrial, Professional and Technical Union (SIPTU) is the largest union in Ireland with over 200,000 members and represents workers from every category of employment across all sectors of the Irish Economy. SIPTU provides a variety of services to assist workers in their dealings with Employers, Government and Industrial Relations Institutions.

The union has about 130 branches of varying sizes. In the larger cities branches specialise in representing workers in particular industries or occupations.

Visit the following website for more information: www.siptu.ie.

IMPACT

IMPACT is Ireland's largest public and services trade union. It has over 57,000 members who work in hundreds of public service occupations in health, local government, education, civil service and community organisations. IMPACT only operates in the 26 counties where they are the second largest union.

Visit the following website for more information: www.impact.ie



My notes on Trade Unions and Workers Committees

General Data Protection Regulation (GDPR) 2018

This is an update of the Data Protection Act, and gives staff much more control over their personal data. It also imposes more obligations on companies who control and process data.

GDPR came into force across the EU on 25 May 2018. This also dictates the information organisations may gather both from staff and customers, and for what purposes. The use of any information now must be compliant under this act, including the use of names, images, or any other personal detail. It also defines the duration for which data may be held on an individual, this may vary from organisation to organisation, and industry to industry. This would normally be defined in the organisations' own policies.

As an EU regulation, the GDPR did not generally require transposition into Irish law (EU regulations have direct effect), so organisations involved in data processing of any sort need to be aware that the GDPR addresses them directly in terms of the obligations that it imposes.

There are two main types of data under the GDPR: personal data and special category personal data.

Personal Data

Under the GDPR, personal data is data that relates to or can identify a living person, either by itself or together with other available information. Examples of personal data include a person's name, phone number, bank details and medical history.

Special Category Personal Data

Special category personal data (known as sensitive personal data under previous Irish legislation) means personal data relating to any of the following:

- The data subject's racial or ethnic origin, their political opinions or their religious or philosophical beliefs
- Whether the data subject is a member of a trade union
- The data subject's physical or mental health or condition or sexual life
- Whether the data subject has committed or allegedly committed any offence
- Any proceedings for an offence committed or alleged to have been committed by the data subject, the disposal of such proceedings or the sentence of any court in such proceedings

The processing of special category data is prohibited unless the data subject has given their explicit consent before processing begins or the processing is authorised by law, for example, to protect the interests of a data subject, to comply with employment legislation or for reasons of public interest.

Personal data relating to criminal convictions and offences may only be processed under the control of an official authority.

Where the GDPR Applies

The GDPR applies to the processing of personal data by controllers and processors in the EU, regardless of whether the processing takes place in the EU or not. The GDPR also applies to the processing of personal data of individuals in the EU by a controller or processor established outside the EU, where those processing activities relate to offering goods or services to EU citizens or the monitoring of their behaviour.

The Data Protection Commission

The Data Protection Commission will:

- Monitor and enforce the application of the GDPR
- Promote public awareness of the rules and rights around data processing
- Advise the Government on data protection issues
- Promote awareness among controllers and processors of their obligations
- Provide information to individuals about their data protection rights
- Maintain a list of processing operations requiring data protection impact assessment

The Data Protection Commission has the power to order any controller or processor to provide information that the authority requires to assess compliance with the Regulation. It may carry out investigations of controllers and processors in the form of data audits, including accessing the premises of a controller or processor. Its authority can order a controller or processor to change their processes, comply with data subject requests. The Data Protection Commission can also issue warnings to controllers and processors and can ban processing as well as commence legal proceedings against a controller or processor.

Penalties

Penalties apply to both controllers and processors found to be in breach of the GDPR. There are different penalties, depending on the importance of the breach.

- **Serious infringements** - For the most serious infringements (for example, not having sufficient customer consent to process data or violating the core of privacy by design concepts) organisations can be fined up to 4% of their annual global turnover or €20 million, whichever is greater. Each member state may introduce further fines legislation, which will be enforceable within that state only.
- **Lesser breaches** - Under the GDPR, organisations in breach of the Regulation can be fined up to 2% of their annual global turnover or €10 million, whichever is greater, for lesser breaches. Some examples of lesser breaches include: not having records in order, not notifying the supervisory authority and data subject about a breach or not conducting impact assessment.¹⁶

¹⁶ "What is considered personal data under the EU GDPR" <https://gdpr.eu/eu-gdpr-personal-data/>. Accessed 25 Aug. 2020.



My notes on General Data Protection Regulation (GDPR) 2018

A large, empty rectangular box with a thin grey border, intended for the user to write their notes on the GDPR 2018.

Standard Operating Procedures

Introduction to SOPs

Standard Operating Procedures (SOPs) are ‘a set of step-by-step instructions compiled by an organisation to help workers carry out **complex** routine operations. SOPs aim to achieve efficiency, quality output and uniformity of performance, while reducing miscommunication and failure to comply with industry regulations’.

These documented processes ensure that services and products are delivered consistently every time. SOPs are also often used to demonstrate compliance with the regulation or operational practices.

These vary in composition based on the industry, organisation, and department of applicability. When designing them, you need to consider the specific requirements of the department, staff, resources available, customer requirements, industry standards, legislation (equality, health & safety, working time, etc.).

Procedures are not a be-all, end-all solution – they will not guarantee excellent performance nor good results. However, what SOPs will do is ensure that you have a structured quality system and processes in place, qualified employees, and a motivating company culture. SOPs, in their purest form, support the right people in the right environment.

An SOP is a useful business tool as it communicates the correct way of carrying out an activity within your organisation. Standard Operating Procedures at a minimum give you the following:

- **Consistency** – The number one reason for procedures is consistency in the way an individual carries out a particular task or activity. The more consistent a process is from person to person, the less chance there will be quality problems.
- **Reduction of errors** – A written procedure details a set of instructions for performing a task. As long as each individual within your team performs the task as it is written, there's a greater chance of reducing errors.
- **Communication** – Another great reason you need SOPs in your organisation is for the benefit of communication. With improvements made to processes, the operating procedures are updated, and each update requires new training. Updating SOPs provides a method to communicate the process changes to employees.

Refer to Appendix I for an example of an Emergency Response SOP.



My notes on SOPs

Writing SOPs

Step 1: Deciding on the format of your SOP

There is no right or wrong way to write an SOP. However, your company probably has a number of SOPs you can refer to for formatting guidelines, outlining how they prefer it done. If that's the case, use the pre-existing SOPs as a template. If not, you have a few options:

- **A simple steps format** - This is for routine procedures that are short, have few possible outcomes, and are fairly to the point. Apart from the necessary documentation and safety guidelines, it's really just a bullet list of simple sentences telling the reader what to do.
- **A hierarchical steps format** - This is usually for long procedures -- ones with more than ten steps, involving a few decisions to make, clarification and terminology. This is usually a list of main steps all with substeps in a very particular order.
- **A flowchart format** - If the procedure is more like a map with an almost infinite number of possible outcomes, a flowchart may be your best bet. This is the format you should opt for when results aren't always predictable.

Consider your audience

There are three main factors to take into account before writing your SOP:

- **Your audience's prior knowledge** - Are they familiar with your organisation and its procedures? Do they know the terminology? Your language needs to match the knowledge and investment of the reader.
- **Your audience's language abilities** - Is there any chance people who don't speak your language will be "reading" your SOP? If this is an issue, it's a good idea to include lots of annotated pictures and diagrams.
- **The size of your audience** - If multiple people at once are reading your SOP (those in different roles), you should format the document more like a conversation in a play: user 1 completes an action, followed by user 2, and so on and so forth. That way, each reader can see how he or she is an integral cog in the well-oiled machine.

Consider your knowledge

What it boils down to is this: Are you the best person to be writing this? Do you know what the process entails? How could it go wrong? How to make it safe? If not, you may be better off handing it over to someone else. A poorly-written or inaccurate SOP will not only reduce productivity and lead to organisational failures, but it can also be unsafe and have adverse impacts on anything from your team to the environment. In short, it's not a risk you should take.

- If this is a project you've been assigned that you feel compelled (or obligated) to complete, don't shy away from asking those who complete the procedure on a daily basis for help. Conducting interviews is a normal part of any SOP-creating process.

Decide between a short or long-form SOP

If you're writing or updating an SOP for a group of individuals that are familiar with the protocol, terminology, etc., and would benefit from a short and snappy SOP that's more like a checklist, you could just write it in short-form.

- Apart from basic purpose and relevant information (date, author, ID#, etc.), it's really just a shortlist of steps. When no details or clarification are needed, this is the way to go.

Keep your SOP purpose in mind.

What's obvious is that you have a procedure within your organisation that keeps on getting repeated over and over and over. But is there a specific reason why this SOP is particularly useful? Does it need to stress safety? Compliance measures? Is it used for training or on a day-to-day basis? Here are a few reasons why your SOP is necessary for the success of your team:

- To ensure compliance standards are met
- To maximise production requirements
- To ensure the procedure has no adverse impact on the environment
- To ensure safety
- To ensure everything goes according to schedule
- To prevent failures in manufacturing
- To be used as a training document
- If you know what your SOP should emphasise, it'll be easier to structure your writing around those points. It's also easier to see just how important your SOP is.

Step 2: Writing the SOP

In general, technical SOPs will consist of four elements *apart* from the procedure itself:

- **Title page** - This can be formatted however you like, as long as the information is clear and it includes the following information: -
 - 1) the title of the procedure
 - 2) an SOP identification number
 - 3) date of issue or revision
 - 4) the name of the agency/division/branch the SOP applies to
 - 5) the signatures of those who prepared and approved of the SOP.
- **Table of Contents** - This is only necessary if your SOP is quite long, allowing for ease of reference. A simple standard outline is what you'd find here.
- **Quality Assurance/Quality Control** - A procedure is not a good procedure if it cannot be checked. Have the necessary materials and details provided so the reader can make sure they've obtained the desired results. This may or may not include other documents, like performance evaluation samples.
- **Reference** - Be sure to list all cited or significant references. If you reference other SOPs, be sure to attach the necessary information in the appendix. Your organisation may have a different protocol than this. If there are already pre-existing SOPs you can refer to, abandon this structure and adhere to what's already in place.

For the procedure itself, make sure you cover the following:

- **Scope and applicability** - In other words, describe the purpose of the process, its limits, and how it's used. Include standards, regulatory requirements, roles and responsibilities, and inputs and outputs.
- **Methodology and procedures** - The meat of the issue -- list all the steps with necessary details, including what equipment needed. Cover sequential procedures and decision factors. Address the "what ifs" and the possible interferences or safety considerations.

- **Clarification of terminology** - Identify acronyms, abbreviations, and all phrases that aren't in common parlance.
- **Health and safety warnings** - To be listed in its own section and alongside the steps where it is an issue. Do not gloss over this section.
- **Equipment and supplies** - Complete list of what is needed and when, where to find equipment, standards of equipment, etc.
- **Cautions and interferences** - Basically, a troubleshooting section. Cover what could go wrong, what to look out for, and what may interfere with the final, ideal product.

Make your writing concise and easy to read. Odds are your audience isn't choosing to read this for fun. You want to keep it short and clear, otherwise their attention will stray or they'll find the document formidable and hard to grasp. In general, keep your sentences as short as possible.

- **Here's a bad example:** Make sure that you clean out all of the dust from the air shafts before you begin using them.
- **Here's a good example:** Vacuum all dust from air shafts before use.

In general, don't use "you." It should be implied. Speak in the active voice and start your sentences with command verbs.

If necessary, interview the personnel involved in the process on how they execute the task. The last thing you want to do is write an SOP that is inaccurate. You're compromising the safety of your team and their efficiency. If you need to, ask questions! You want to get this right. It is good practice to ask multiple sources, covering all roles and responsibilities. One team member may not follow standard operating procedure or another may only be involved.

Break up large chunks of text with diagrams and flowcharts. If you have a step or two that are particularly intimidating, make it easy on your readers with some sort of chart or diagram. It makes it easier to read and gives the mind a brief hiatus from trying to make sense of it all. And it'll appear more complete and well-written for you.

Make sure each page has control document notation. Your SOP is probably one of many SOPs, because of this, hopefully your organisation has some type of larger database cataloging everything within a certain reference system. Your SOP is part of this reference system, and therefore needs some type of code in order to be found. That's where the notation comes in.

Each page should have a short title or ID #, a revision number, date, and "page # of #" in the upper right hand corner (for most formats). You may or may not need a footnote (or have these in the footnote), depending on your organisation's preferences.

Step 3: Test for Accuracy and Success

Test the procedure

If you don't want to test your procedure, you probably haven't written it well enough. Have someone with a *limited knowledge* of the process (or a person representative of the normal reader) use your SOP to guide them. What issues did they run across? If any, address them and make the necessary improvements.

- It's best to have a handful of people test your SOP. Different individuals will have different issues, allowing for a wide variety of (hopefully useful) responses
- Be sure to test the procedure on someone who's never done it before. Anyone with prior knowledge will be relying on *their* knowledge to get them through and not your work, thus defeating the purpose.

Have the SOP reviewed by those who actually do the procedure

At the end of the day, it doesn't *really* matter what your bosses think of the SOP. It's those who *actually* do the work that it matters to. So before you submit your work to the higher ups, show your stuff to those that will be doing/are already doing the job. What do *they* think? Allowing them to get involved and feel like they're part of the process will make them more likely to accept this SOP you're working on. And they'll inevitably have some great ideas!

Have the SOP reviewed by your advisors and the Quality Assurance team

Once the team gives you the go ahead, send it to your advisors. They'll probably have less input on the actual content itself, but they'll let you know if it meets formatting requirements, if there's anything you missed, and the protocol for making it all official and input into the system.

- Route the SOP for approvals using document management systems to ensure audit trails of the approvals. This will vary from organisation to organisation. Basically, you want everything to meet guidelines and regulations.
- Signatures will be necessary and most organisations nowadays have no problem accepting electronic signatures.

Once approved, start implementing your SOP

This may involve executing a formal training for the relevant personnel (e.g. classroom training, computer-based training, etc.) or it may mean your paper is hung up in the bathroom. Whatever it is, get your work out there! You worked for it. Time for recognition!

Be sure your SOP remains current. If it ever gets outdated, update it, get the updates re-approved and documented, and redistribute the SOP as necessary. Your team's safety, productivity, and success matter on it.



Learning Activity:

Identify and record departmental SOP components, policies, and procedures.



My notes on Writing SOPs

Record Management

What are Records?

Records are documents in every format created and received by individuals or organisations in the course of conduct of affairs and accumulated as evidence of these activities.

Definitions of records have been constantly challenged in recent years by the emergence of new records formats and media. Change is principally the result of technological advance. Traditional records formats such as letters, minutes, memoranda and reports are being matched and outstripped in volume by spreadsheets, databases, e-mails and facsimiles. In some ways, what technology has done is to re-define traditional records formats. Really, e-mail is very similar to a letter. It is the fact that it is transmitted electronically that differentiates e-mail from letters. Now, definitions of records tend to be as non-prescriptive and all-inclusive as possible, cognisant of the fact that it is impossible to be future-proof.

The FOI Act defines records as including:

*Any memorandum, book, map, plan, drawing, diagram, pictorial or graphic work or other document, any photograph, film or recording (whether of sound or images or both), and form in which data (within the meaning of the Data Protection Act, 1988) are held, any other form (including machine-readable form) or thing in which information is held or stored manually, mechanically or electronically and anything that is part of a copy, in any form, of any of the foregoing or is a combination of two or more of the foregoing.'*²¹

Most outputs of work are records. Technology has spawned a new generation of records formats and media and all of those who administer records should recognise that each is as significant as the next. Thus, aural records media such as voicemail and Dictaphone tapes, and visual records such as scanned images and photographs, merit the same level of protection traditionally afforded to written records.

Written records within an organisation are sometimes the only proof that a decision has been made, that direction has been given, or objectives have been set. Other records are required to be kept and maintained by law, such as:

- Personnel files and contact data,
- Payment details,
- Tax records and payments,

- Staff rosters,
- Health and safety records,
- Accident records,
- Holiday and leave entitlements,
- Complaints,
- Training records,
- Customer records and details, etc.

This list is not exhaustive and can vary depending on the industry and organisational requirements.

As a Supervisory Manager, it is your responsibility to properly maintain records specific to your department, for both staff and the organisation. Any files directly pertaining to personnel records should be properly stored and treated as confidential. These files and records contain sensitive personal data and therefore fall under the GDPR legislation mentioned previously. In this vein, when they are being disposed of, this should be done in a manner so as to maintain the confidentiality of the data. Most data should not be kept indefinitely and may be properly disposed of after certain periods as determined by the organisation and industry standards.



Learning Activity:

List the Records you will have responsibility of as a Supervisor.



My notes on Records

Record Management

Record management may be defined as: -

“the application of systematic policies and procedures governing the creation, distribution, maintenance, management, use and ultimate retention or disposal of records to achieve effective, economical, accountable, transparent and efficient administration.”

Principally, records should exist for all major business activities, and where relevant, they should be disposed of in a timely manner. Adherence to information and records management policies, guidelines, procedures and standards should help to ensure that organisations comply with the expectations placed on it. Such expectations include legislative, regulatory and audit requirements, and community expectations. It is essential that Supervisors recognise the significance of this aspect of information and records management. It is important to be above reproach in business dealings. The prudent management of records should provide proof of equitable business activity.

What are the benefits of records management?

Information and records management systems support and guide all aspects of the administration of records. Such control of records confers several benefits:

Efficiency

- Records are better organised and located, and retrieved more quickly, thus facilitating ease of reference, eradicating staff frustration and increasing productivity.
- Policies govern all aspects of the management of records, thus negating the necessity of staff members having to make difficult decisions.

Consistency

- The existence of documented policies means that staff members execute actions relative to records in a consistent manner.

Good-decision making

- When staff members have ready access to all necessary records, they are able to make decisions with reference to precedent, context and eventualities.

Economy

- Information and records management systems are formulated with reference to using all resources (people, money, space, equipment and supplies etc.) as economically as possible.
- Policies ensure the creation and retention of records where they are necessary to document and support business activities. This ensures both that records are not created needlessly and continue to survive where they are necessary. The latter element means that the organisation does not have to pay for the re-creation of records.

Legal protection

- Where stringent control is exercised over records, organisations can protect their own interests and those of stakeholders, whether they are owners, employees, the wider community or individuals and organisations associated with the organisation.
- Careful policies facilitate compliance with applicable legislation and regulations.
- Unnecessary retention of records is obliterated and prolonged retention of records may be legally damaging.

Continuity

- Good records facilitate continuity on occasions when staff members leave the employment of the organisation. In the absence of records, staff members take their knowledge with them when they leave.
- Moreover, memories fade with time. The rationale behind records creation and retention is that staff members are not forced to try to remember the specifics of long past business transactions.

Many organisations will have a Records Management policy designed to provide guidance regarding creation, preservation and security of records that should be retained for legal, operational, or historical reasons, and to encourage disposal of records that are of no further value.



My notes on Record Management

Document Control

Document control is all to do with transferring information between relevant parties. This could be a law firm sending a report to a client, a construction firm receiving technical drawings from a designer, or as critical as an update to an emergency response procedure.

Document control ensures that the information reaches the end user correctly, therefore the document must be controlled to ensure that this is the case. Sometimes the information contained in a document needs to be altered.

For example;

A document is in circulation at DCM Learning's office, containing an SOP on the Emergency Response Procedure. This SOP has a document reference

"DCM Learning - Emergency Response SOP - Rev001"

However a change in staff means the new employee appointed as a fire warden has changed, therefore the SOP is updated and the latest version is given a new reference superseding the Rev002

"DCM Learning - Emergency Response SOP - Rev002"

Document Control Register

In order to record each revision, detail the updates, and control access and distribution a Document Control Register will record these changes enabling Document Control within an organisation to be managed appropriately.

Document generally kept within a Document Control Register consist of;

- Policies
- Procedures
- Safety Statements
- Risk Assessments
- Document Templates

Example of Document Control Register;

Document	Change Made	Old Revision	New Revision	Change communicated to relevant management/staff?
DCM Learning - Emergency Response SOP	First Edition - No changes to record	n/a	Rev001	Yes
DCM Learning - Emergency Response SOP	Update to newly appointed fire Warden	Rev001	Rev002	Yes



My notes on Document Control

Staff Recruitment, Training and Development

The Recruitment Process

Supervisors may often be consulted, or directly involved in the recruitment process for new members to their team, be it internal or external labour movement. As they are usually the most 'in touch' with their team and their needs, the supervisor's input is valuable to management when adding to that team to ensure as little disruption as possible to the existing team dynamic. If this is not properly addressed, the addition of an unsuitable new member can cause friction, hindrance, and the breakdown of the team structure and dynamic. Having said that, a new recruit should not be expected to fit right in with no acclimatisation or training provision, so this must also be considered. A Manager may be somewhat distanced from the team, the input of the Supervisory Manager is invaluable. The Supervisor may not always be involved in the entire recruitment process, but may be present for final interviews.

The Supervisor should be aware of the needs of their team in terms of personnel skills and qualities, as this is what they will be looking for when recruiting new staff.

It would generally be the case that the Supervisor would not be fully engaged within the full recruitment process, unless it is a specialised area requiring the Supervisor to adopt a more management-type role. However, they would also be involved prior to the process, in the distinction of the needs and requirements of a new team member, what sort of personality may be a good fit, and job-specific requirements for the role.

The Supervisor should consider the following:

Job Role and Responsibilities

- What tasks will the new team member be required to complete?
- Will they require training, or should they already have a certain skill set?

Team Dynamics

- What is the general personality type of the team?
- Do they require someone quiet, or an outgoing, extrovert personality?
- What does the role require in terms of personality, or is it a consideration?
- Will this person be a good fit within the team?

Other Considerations

- Can this person be hired from within the organisation?
- Is the use of an external agency required for this process?

The Supervisor needs to be as descriptive about the position and requirements as possible to ensure that a suitable candidate is appointed to the position. They should be included in the final round of interviews to ensure a good fit for the position and the team. The existing members of the team, as well as the new member, should be considered to ensure continuation of a harmonious work environment. Provisions for training should also be in place, induction or upskilling, as necessary. This duty will often fall to the Supervisor to devise and organise suitable training.



My notes on The Recruitment Process

Staff Training

Training is a program that helps employees learn specific knowledge or skills to improve performance in their current roles. Development is more expansive and focuses on employee growth and future performance, rather than an immediate job role.

Why you need high-impact employee training and development.

Good training and development programs help you retain the right people and grow profits. As the battle for top talent becomes more competitive, employee training and development programs are more important than ever. Hiring top talent takes time and money, and how you engage and develop that talent from the time they are first onboarded impacts retention and business growth. According to the 2019 Workplace Learning Report from LinkedIn, 82% of L&D professionals say that their executives actively support employee engagement in professional learning, and 59% say they will spend more on their online learning budget.

Training Needs Assessment

Firstly, you must identify the need for the training. This is usually done through Training Needs Analysis (TNA). This is to determine the gap between desired performance levels, and current performance levels. This will also help to determine if training is the solution to the gap. For example, you may be able to address an issue through workplace coaching, or online content may be appropriate for asynchronous or synchronous training. Training costs money, and this should be able to be justified.

There are many ways to conduct assessments. You can use a formal instrument that measures a person's skill or knowledge, or one that simply measures a person's preference. You can use written questionnaires or you can use personal interviews with employees or Supervisors. If you use interviews, you can meet with individuals one-on-one, or you can conduct small focus groups.

Another way to assess a need is to observe an employee working or to take a work sample. You can also use records or reports that already exist, such as performance assessments

Your goal in collecting this data is to **determine the gap between a job requirement and an individual's actual skill or knowledge**. The bottom line is to determine what is preventing the desired performance. You use this information in the next stage of The Training Cycle.

The Steps in a Training Needs Analysis

1. **Organisation analysis** — this phase determines where training can and should be used within the organisation. The output at this stage will be an Organisation Training Plan, which will list the department/roles, key issues affecting training, and training priorities.
2. **Job analysis** — this analysis involves the systematic design of job roles in the organisation. The output at this stage will be a Job Description, which will list the purpose, scope and duties/responsibilities of each job role.
3. **Task analysis** — the purpose here is to determine skills required to do the job. The output at this stage is a list of the knowledge, skills, competencies and attitudes necessary for each job.
4. **Individual skills audit** — the objective of this analysis is to review the skills of an employee, against the Task Analysis. This will identify 'training gaps'. The output at this stage is a Skills Audit.
5. **Learning outcomes** — the final stage of training needs analysis is to devise a set of learning outcomes, which will fill the 'training gaps'.

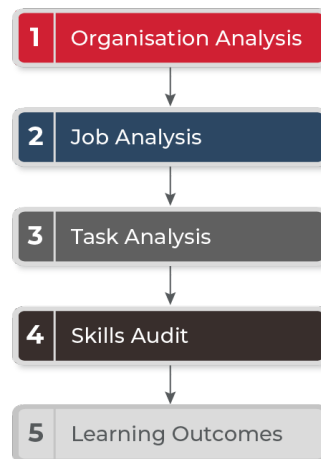


Figure 1.11 Steps in a Training Needs Analysis

Training Design

Once you have determined that training will address the identified gap, you need to define your training objectives - what do you want your staff to be able to do? These objectives, as with all others, should be SMART (Specific, Measurable, Achievable, Relevant, Time-bound). The Supervisor would have responsibility for determining these objectives based on the requirements of the position and the results of the TNA gap analysis.

1. **Understand** the application of Health & Safety legislation within their workplaces.
2. **Appreciate** basic spinal structure and joint wear & tear.
3. **Be aware of** Risk and Accident Prevention measures.
4. **Demonstrate** the correct procedure to lift a box.

The language used in the design of training objectives can impact their effectiveness. Avoid use of language such as **Know** or **Should**.

Once you have defined the training objectives, you must then determine the type of training. The method of training to be applied depends mainly on the requirements of your department. Also to be considered are elements such as cost, staff availability, and the existing skill pool available within your department or organisation. Some companies have the facility to provide in-house training for staff, whereas others may need to engage the services of external training agencies for this purpose.

The 70:20:10 Model for Learning and Development is a commonly used formula within the training profession to describe the optimal sources of learning by successful Managers across all levels.

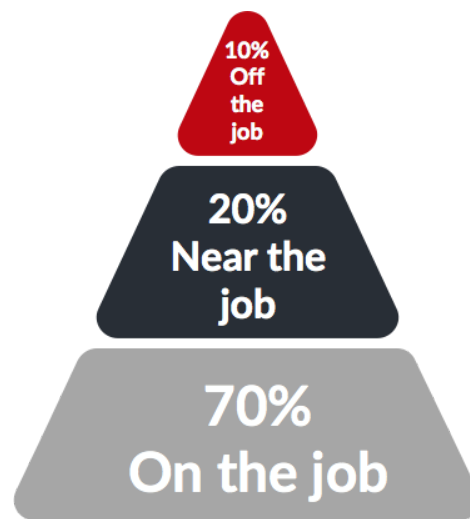


Figure 1.12 70:20:10 Model

The model's founders believe that hands-on experience (the 70 percent) is the most beneficial for employees because it enables them to discover and refine their job-related skills, make decisions, address challenges and interact with influential people such as bosses and mentors within work settings. They also learn from their mistakes and receive immediate feedback on their performance.

Employees learn from others (the 20 percent) through a variety of activities that include social learning, coaching, mentoring, collaborative learning and other methods of interaction with peers. Encouragement and feedback are prime benefits of this valuable learning approach.

The formula holds that only 10 percent of professional development optimally comes from formal traditional courseware instruction and other educational events, a position that typically surprises practitioners from academic backgrounds.

Thus, training and development activities can be classified loosely according to whether they take place on or off the job, and within or outside the organisation.

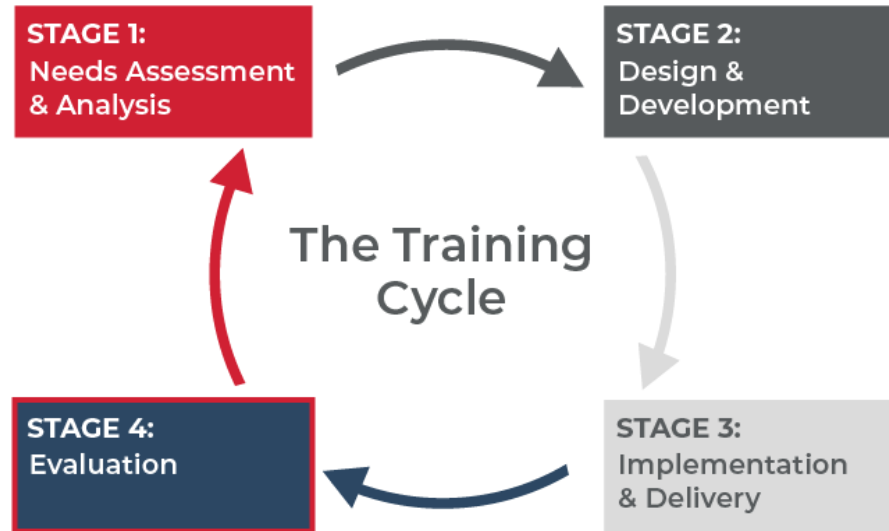


Figure 1.12 The Training Cycle

Can this be provided on-the-job? or does it require a more formalised, external approach? This may be addressed in the following ways:

- Engage an external training agency to train all staff as required
- In-house training with a qualified trainer within the organisation
- Shadowing other staff while they do the tasks to be applied
- Role play training, whereby staff attend brief sessions as the situations are played out for them to observe and learn from
- On-the-job training, whereby they are given guidelines and serially monitored by the Supervisor

These methods will depend on what is most appropriate and the type of training required. Cost will also be an issue, and this should be included within the departmental budget. The training must then be delivered. This should take place at a time and place where the learners will not be disturbed, so as to maximise the potential for absorbing the information and skills being taught.

Following training, you should evaluate to check the effectiveness of training to the staff, ensure ROI (return on investment = value for money) and to ensure further training is not required. If it is,

you should start the cycle over again. A SWOT analysis may be once again applied to evaluate effectiveness of training.



Figure 1.13 SWOT Analysis

A Supervisor is uniquely positioned to identify and determine the training needs of their team. They work with them every day and recognise their strengths and weaknesses. A SWOT Analysis can be a good tool to help identify staff training needs.

It is a good idea to perform this analysis with your team on at least an annual basis. This may be done around review time. It can also be applied to the team and department as a whole.

For Example:

Strengths

- We can respond quickly as we are autonomous and responsible for our own progress
- We can provide excellent customer care and devote adequate time to our customers, which in turn improves our reputation both within the organisation and externally with customers

- Our consultants are effective, efficient, and our team has a good reputation both within our organisation and our industry
- We can adapt to changing market trends and customer requirements
- We have low overheads and can pass value onto our customers

Weaknesses

- We have relatively little presence within our current market focus
- We have a small number of staff
- When staff are out sick, it greatly impacts our productivity
- Our cash flow is unstable
- Our staff are tied into their jobs with no lateral movement possible

Opportunities

- Our organisation is expanding and spending more on marketing
- We can take on new staff and upskill existing staff to cover all areas on the team

Threats

- Costs and market conditions can impact the upskilling of our staff if the organisation funnels the funds to other departments
- Changing market trends and customer requirements can negatively impact us

This example is in a department, and can help to recognise and focus on the areas for address. As noted above in the example, sometimes the upskilling of staff is preferable to hiring new staff. This also acts as a motivator for staff, if they understand that their hard work can be rewarded by recognition and advancement within the organisation, and the potential to gather new skills.

Sometimes it will be a requirement to hire new staff. In this case, the Supervisor would be responsible for determining the requirements of skills, knowledge, and calibre of new hires, and also consideration of a suitable personality to fit into their team. If a candidate with the right skills and knowledge were to join a team, but not be a good fit personality-wise, this may have a negative impact on the team as a whole, and result in negative consequences such as lack of team motivation, reduction in output and quality, and staff absences. Therefore the role of personality and finding a 'right fit' should not be underestimated within this process. Skills and knowledge can be taught, personality cannot.



Further Learning:

If you would like to further develop your skills to identify training gaps within an organisation by creating and designing a training plan, DCM Learning also provide a QQI Level 6 in Training Needs Identification and Design, for more information do not hesitate to contact our team.



Learning Activity:

Consider appropriate methods for training provision within your own Department.



My notes on Staff Training

Coaching and Other Training Options

The course-providing industry is one that seems constantly to be expanding. The problem therefore is one of choice. Training is offered by a wide variety of institutions such as consultancies; industry and employer associations; suppliers; and publicly funded bodies such as government departments and training agencies. Other options include attending conferences or seminars where Managers or potential Managers of all levels are exposed to the ideas of speakers which are experts in their field. External conferences may vary greatly, ranging from attending conferences on specific Managerial techniques to programmes on broad topics.

When selecting one of these it is important to see what is being offered and expressed in terms of objectives and outcomes, as well as methods used. It should also be remembered that however high the quality of the external training, it cannot possibly do the total development job for any organisation. There is always a need to reinforce a trainee's learning through preparation and then debriefing, and also to supplement that learning through follow-up activities. That way, the knowledge and skills gained can be translated into job competence.

Off-the-job Training and Development within the Organisation

- Subject workshops on specific issues can bring together all the personnel concerned with a particular issue or problem and focus their talents and energies on that issue.
- 'By staff for staff' workshops/courses can be used to encourage staff members to prepare presentations, demonstrations or workshops on virtually any subject. These can be relatively informal, yet quite challenging for the individuals assigned to present the material.

Open and distance learning does not fall squarely into any of the categories since it may occur on or off the job and either inside the organisation or in the employee's own time. In recent years open and distance learning materials have been produced which offer greater flexibility at lower unit costs than many traditional approaches.

Planned reading of relevant and current management literature, i.e. self -development. The HR department usually develops a reading list of valuable books.

On-the-job Training and Development

- Work experience has been used for many years in traditional apprenticeships schemes, however it is perhaps underused as a current means of giving personal experience that is

not available on-the-job. You could approach another department within your organisation, or perhaps another company on a 'quid pro quo' basis.

- Mentoring and coaching are ways of giving both organisational and individual support to someone's learning whilst they are in post.
- Job rotation, people should not be left in the same job for too long, but given wider opportunities for acquiring wider experience. This is not merely a matter of sensible preparation for promotion, but also a useful way of bringing fresh minds to bear on old problems. Equally, a planned system of deputising for absent colleagues could serve a dual purpose. The work of the person on holidays/ sabbatical would not be left to pile up and the person 'standing in' would be adding to their personal development in a planned and anticipated way.
- Planned progression gives employees a clear idea of their path of development. Therefore individuals know where they stand and where they are going.
- "Assistant-to" position – this allows people to work closely with experienced Managers who can give special attention to the development needs of trainees.



My notes on Coaching and Other Training Options

Managing Staff Performance

The term 'appraisal', sometimes known as the 'appraisal meeting' is generally thought of as a regular event which happens at least once a year and possibly every few months. This is a meeting between the Supervisory Manager and direct report (s) where *evidence* of performance against agreed targets and behaviour and attitude against company values can be evaluated and the outcomes discussed openly. The meeting provides an opportunity to look back over a set period of time and provide feedback on what has worked well and gain agreement over performance levels in order to set targets and objectives with clearly defined outcomes for a forthcoming set period of time. Targets might include further training requirements or a re-focusing on the job role and any adjustments that need to be made.

Performance reviews can happen formally or informally and enable a re-examination of agreed objectives or reconsideration of work plans and act as a progress check, the purpose being to make amendments or improvements as required.

It is useful to gather evidence, sometimes involving other people in the case of 360⁰ feedback*, prior to the appraisal to answer the following questions:

- Were the objectives achieved or not and how do you know?
- Was the performance above, within or below the requirements of the role (competence)?
- What training has been received and what requirements might there be in the future?
- Actions by appraiser (Supervisory Manager) or appraised (direct report)

360⁰ feedback uses a system to gather feedback from a number of sources, typically including colleagues, direct reports and customers.

Usually appraisals are conducted as one to one meetings where the right questions can be asked and the appraiser does most of the talking in a quiet and confidential setting. Privacy also means being uninterrupted by other individuals, telephone calls or distracted by mobile devices and computers.

A focus is given to individual performance and recognition of success, where appropriate.

Setting SMART Goals

The role of a Supervisor involves monitoring progress of their staff towards set specific goals. Unless these goals are clear and SMART, they will not be achievable and therefore set staff up for

failure, and hinder progress. Goals should be clearly stated and unambiguous to avoid interpretative differences between the Supervisor and staff member.

Setting these goals with staff, rather than for them, benefits from their input and creates a level of understanding on the requirements of the goal(s). Performance goals should be set **with**, rather than **for**, staff at all times. This encourages buy-in and ownership of the goals and their achievement by the staff.

The quality of the goals is more important than quantity. Do not overload the staff with goals, a few SMART goals are more likely to be achieved and have a positive impact on the staff member. Goals may be used to motivate staff if applied properly.



Figure 1.14 SMART Diagram

Supporting Goal Achievement

When setting goals with or for staff, in order to ensure a goal is achievable, the relevant resources should be in place to enable them to meet their goal. Resources can be equipment, training, time, etc. An effective goal should also be relevant to the person's position within the organisation. There is no point setting a goal for them if it is beyond their remit or of no benefit to them or their department.

Consider:

- Are the goals aligned to their job or future career?
- Have they had input into the agreement of these goals?

- Do they have the time to work on these goals?
- Do they have the necessary knowledge or skills to achieve this goal? Can training be provided if required? Are they willing to upskill to achieve this goal?

Goals can act as serious demotivators if these questions are not addressed. Setting an unattainable goal will demotivate staff and cause issues within the department, and between staff and Supervisor.

The following points should be noted when dealing with a performance related issue.

In many cases the issue will have been in existence for some time; when it is brought to your attention, or when you notice it, it may not be appropriate to react immediately.

For example;

A staff member informs you that the colleague has been making an inordinate amount of personal phone calls recently, and it's really beginning to affect the others ability to work.

- It may not be wise to approach the person straight away until you have verified the information you have been given. jumping to conclusions will lead to bad decisions being made.
- Select an appropriate location.
- Once you have verified that there is an issue, and you are clear that it is performance related, you need to choose a time and place to deal with it. Do not wait until your next scheduled supervision meeting. Give the person a bit of notice, a few hours will be sufficient, and set time aside to discuss it in confidence with the person. Explain the desired performance, the current performance and why it's a problem (e.g. against policy, affecting the work of others, and so on.)

It is important to take ownership of the problem. If you are raising an issue with a person then don't use others as an excuse for doing so.

For example;

"It has been brought to my attention **by some of your colleagues** that you have been spending a lot of time on the phone recently.....:"

Instead, try something like this, "I have noticed a drop in the number of transactions you have been processing. I think it may be related to the number of personal calls that you have been making recently. Is there any reason for this that you want to tell me about?"

Performance Improvement Plans:

The PIP is an evaluation tool applied to help staff develop their own goals. We have already discussed the need for SMART goals, and this applies to any goals set.

The Performance Improvement Plan (PIP) is designed to facilitate constructive discussion between a staff member and their Supervisor, and to clarify the exact work performance requiring improvement.

It is implemented, at the discretion of the Supervisory Manager, when it becomes necessary to help a staff member improve their performance. The Supervisor, with input from the employee, develops an improvement plan; the purpose of the goals outlined is to help the employee to attain the desired level of performance.

The PIP differs from the Performance Development Planning (PDP) process in the amount and quantity of the detail. Assuming an employee is already participating in the company-wide PDP process, the format and the expectation of the PIP should enable the Supervisory Manager and staff member to communicate with a higher degree of clarity about specific expectations.

In general, people who are performing their jobs effectively and meeting the expectations of the PDP process, will not need to participate in a PIP. It is the rare, under-performing employee, the one whose performance the Supervising Manager believes can improve with assistance, who is the typical participant in the PIP.

In all cases, it is recommended that the Supervisor's Manager and the Human Resources department review the plan. This will ensure that employees experience consistent, fair treatment across the departments and across the company.

The Manager monitors and provides feedback to the employee regarding his or her performance on the PIP and may take additional disciplinary action, if warranted, through the organisation's Progressive Discipline Process, if necessary.

The Supervisor should review the following six items with the employee when using the document.

- State the exact performance that must be improved; be specific and cite examples.
- State the level of performance expected and that it must be performed on a consistent basis.
- Identify and specify the support and resources that you will provide to assist the employee to succeed.

- Communicate your plan for providing feedback to the employee. Specify meeting times, with whom and how often. Specify the measurements you will consider in evaluating the employee's progress.
- Specify possible consequences if the performance standards you are establishing in the document are not met.
- Provide sources of additional information such as the Employee Handbook and anything else you believe will assist the employee to improve his or her performance.



Learning Activity:

Devise a SMART goal for a member of your team.



My notes on Managing Staff Performance

Risk Awareness and Insurance Cover

Managing Workplace Safety and Health

All employers are required to manage safety and health at work so as to prevent accidents and ill-health. Controlling dangers at work is no different from tackling any other task. You need to recognise the problem, know enough about it, decide what to do and put the solutions into practice.

The law requires employers to:

- Identify the hazards
- Carry out a risk assessment
- Prepare a written safety statement

This process has a practical purpose. It will help employers and other duty holders to manage employees' safety and health, and get the balance right between the rise of any safety and health problems and what has to be done about them. This is because the system must be risk-based; the required safety measures must be proportionate to the real risks involved and must be adequate to eliminate, control or minimise the risk of injury. The system must involve consultation between you as an employer and your employees, who are required by law to cooperate with you in the safety management process.

Health and Safety Authority

The Authority was established in 1989 under the Safety, Health and Welfare at Work Act, 1989 and reports to the Minister for Business, Enterprise and Innovation. The Authority has a number of major role;

- The national statutory body with responsibility for ensuring that over 2 million workers (employed and self-employed) and those affected by work activity are protected from work related injury and ill-health by enforcing occupational health and safety law, promoting accident prevention, and providing information and advice across all sectors, including retail, healthcare, manufacturing, fishing, entertainment, mining, construction, agriculture and food services.
- The lead National Competent Authority for a number of chemicals regulations including REACH (Registration, Evaluation, Authorisation and Restriction of Chemicals) Regulation and Seveso II Directive. Our responsibility in this area is to protect human health (general

public, consumers and workers) and the environment, to enhance competitiveness and innovation and ensure free movement of chemicals in the EU market.

- A key agency involved in market surveillance and ensuring the safety of products used in workplaces and consumer applications. We have a remit to protect 4.5 million citizens from unsafe products and articles and to enable the international movement and trade of goods manufactured in Ireland.¹⁷

The HSA website is a useful tool for, up to date changes to legislation, guides for compliance and templates. <https://www.hsa.ie/eng/>

¹⁷ "About Us - Health and Safety Authority." http://www.hsa.ie/eng/About_Us/. Accessed 25 Aug. 2020.



My notes on Managing Workplace Health and Safety

Risk Assessments and Safety Statements

Accidents and ill health can ruin lives, and can also affect business if output is lost such as, machinery is damaged, insurance costs increase, or if you have to go to court. Therefore, carrying out Risk Assessments, preparing and implementing a Safety Statement and keeping both up to date will not in themselves prevent accidents and ill health but they will play a crucial part in reducing their likelihood.

Employers, Managers and Supervisors should all ensure that workplace practices reflect the Risk Assessments and Safety Statement. The way in which everyone works, must reflect the safe working practices laid down in these documents. Supervisory checks and audits should be carried out to determine how well the aims set are being achieved and Corrective action should be taken when required.

Why are Risk Assessments and Safety Statements so important?

- 1. Financial reasons** - There is considerable evidence, borne out by companies' practical experiences, that effective safety and health management in the workplace contributes to business success. Accidents and ill-health inflict significant costs, often hidden and underestimated.
- 2. Legal reasons** - Carrying out a Risk Assessment, preparing a Safety Statement and implementing what you have written down are not only central to any safety and health management system, they are required by law. Health and Safety Authority inspectors visiting workplaces will want to know how employers are managing safety and health. If they investigate an accident, they will scrutinise the Risk Assessment and Safety Statement, and the procedures and work practices in use. It should be ensured that these stand up to examination. If the inspector finds that one of these is inadequate, he or she can ask the employer to revise it. Employers can be prosecuted if they do not have a Safety Statement!
- 3. Moral and ethical reasons** - The process of carrying out a Risk Assessment, preparing a Safety Statement and implementing what you have written down will help employers prevent injuries and ill-health at work. Employers are ethically bound to do all they can to ensure that their employees do not suffer illness, a serious accident or death.

Risk Assessments

Section 19 of the Safety, Health and Welfare at Work Act 2005 requires that employers and those who control workplaces to any extent must identify the hazards in the workplaces under their control and assess the risks to safety and health at work presented by these hazards.

Risk assessment is a cornerstone of good health and safety management. All employers regardless of the size of business are required by law to carry out a risk assessment at their place of work and to keep a written record of that risk assessment.

People are often put off by the idea of Risk Assessment because they think it is over complicated, difficult to complete and unnecessary. This does not need to be the case.

Risk Assessment is simply looking closely at what in your place of work or about your work activities could cause harm to your employees and visitors to your workplace (e.g. customers, suppliers, sales representatives etc) and determining the control measures you can implement to minimise the risk.

There are three basic steps to conducting a risk Assessment;

Step 1 - Identify Hazards

Start by looking at and identifying “hazards” that are at your workplace. A hazard is simply anything that can cause harm to you or your employees.

“Where can people come to harm?” Don’t overcomplicate the process. Take a good look at your workplace and the work that you are doing there. What you are looking for are the situations where people can be harmed (e.g. hazards such as vehicles, machinery, manual handling etc.). This can include people other than your employees. Look at how you get around your workplace, is there safe access? Look at how you carry out the work, how can you be harmed? There is no need to consider every minor hazard or risk which is accepted as part of everyday lives.

For example;

You do not need to identify the lifting of a 1kg package as a workplace hazard; but lifting a 25kg box of 1kg packages would be a hazard.

Step 2 - Determine the Level of Risk

Next look at the level of risk. Some hazards will be high risk, e.g. working at height. Other hazards will be a lower risk, because the harm may be less severe. “What is the chance people will be harmed and how serious could the injury be?” Decide who could be harmed and how and give consideration to vulnerable groups (e.g. young persons, the elderly, pregnant employees, shift workers etc).

Step 3 - Put in Controls and Inform

Decide what you are going to do to make the task or activity safer for you; your employees and other people around you. Implement the controls and then tell your employees!

Your control measures are the most significant part of the risk assessment, as they set out the steps that must be followed to protect people. Some control measures may already be in place. You will need to decide if additional measures are needed. Risk assessments will help you prioritise the high risk hazards first.

BeSMART.ie

[BeSMART.ie](#) is a free online tool that will guide you through the entire risk assessment process using simple language and easy-to-follow instructions. On completion you will have a workplace-specific safety statement that can be printed, downloaded and implemented.

Using BeSMART.ie is the easiest, most effective way to prepare your risk assessments and safety statement. It is available to a wide range of business types. If your business is covered by BeSMART.ie, we recommend you use it. ¹⁸

¹⁸ "Risk Assessment - A cornerstone of a good safety"
<https://www.ayrton.ie/risk-assessment-cornerstone-good-safety-management-system/>. Accessed 25 Aug. 2020.



Learning Activity:

Identify potential risks within your own Department.

Risk Assessment Example:

Risk Assessment

5	High level risk highly likely and would cause fatal harm/damage (i.e death of persons)
4	High level risk very likely and would cause severe harm/damage (i.e loss of limb)
3	Medium level risk possibility of occurrence would cause recoverable injury (i.e broken bone)
2	Low level risk and likely to occur but would not cause severe harm (i.e sprain/ small cut)
1	Low level risk and highly unlikely to occur causing low level harm (i.e bruise)

Multiply the Severity x Likelihood to get the Risk Level and colour accordingly

13+
11-12
7-10
4-6
1-3

Risk ID Number	Identified Hazard	Potential Harm/Danger	Severity	Likelihood	Preventative Action	Risk (multiply the severity x likelihood)
1	Lifting 5kg +	Back injury Dropping of item on foot Causw damage to item by dropping	2	4	Manual handling training Check weight before lifting Aquire assistance from colleague Ensure stable ground Use lifting equipment	8
2	Fire	Loss of life Damage to premises Damage to documents and records Risk to member of publin	5	2	Follow fire regulations and legislation Keep fire exits clear Valid and easily accseeible fire extinguishers and equipment Appointed fire warden and fire training	10
3	Slip, trips and falls	Slip trip or fall causing harm and damage to equipment	3	2	Keep walkways clear Ensure any cables/leads are not across the floor or covered with a matt Secure handles at a high or stairs	6

Safety Statements

The areas that should be covered by the Safety Statement are specific and are set out in Section 20 of the Safety, Health and Welfare at Work Act 2005. The Statement should be based on the identification of the hazards and the Risk Assessments carried out under Section 19. It must:

- Specify how the safety and health of all employees will be secured and managed
- Specify the hazards identified and risks assessed
- Give details of how the employer is going to manage his or her safety and health responsibilities, including a commitment to comply with legal obligations, the protective and preventive measures taken, the resources provided for safety and health at the workplace and the arrangements used to fulfil these responsibilities
- Include the plans and procedures to be used in the event of an emergency or serious danger
- Specify the duties of employees, including the co-operation required from them on safety and health matters
- Include the names and job titles of people appointed to be responsible for safety and health or for performing the tasks set out in the statement
- Contain the arrangements made for appointing safety representatives, and for consulting with and the participation by employees on safety and health matters, including the names of the safety representatives and the members of the safety committee, if appointed be written in a form, manner and language that will be understood by all
- Include a review mechanism
- Have regard to the relevant safety and health legislation

The Safety Statement can refer to specific procedures contained in other documents. These documents might include:

- Health and Safety Authority Publications on Safety Statements and Risk Assessments for specific work sectors. See the Publications section of this website.
- The BeSMART online Risk Assessment and Safety Statement Tool for the specific categories for which this tool covers
- Authority produced Codes of Practice, Guidance and Information Sheets where available. See the Publications section of this website.
- Manufacturer's instructions for work equipment and machines
- Company operating instructions and procedures

These may contain lists of the hazards and precautions relevant to your organisation. The BeSMART tool may be used for preparing your Safety Statement, if your business is covered by its templates. It is up to the employer whether to combine all the documents or keep them

separately. However, the employer must still ensure that employees are made aware of the risks in their work and the precautions which are necessary.¹⁹

¹⁹ "Safety Statement and Risk Assessment - Health and Safety"
http://www.hsa.ie/eng/Topics/Managing_Health_and_Safety/Safety_Statement_and_Risk_Assessment/.
Accessed 25 Aug. 2020.



My notes on Risk Assessments and Safety Statements

A large, empty rectangular box with a thin grey border, intended for the user to write their notes on Risk Assessments and Safety Statements.

Insurance Requirements

Following on from Risk, an organisation, and each department should be insured against the impact of risk. There are several types of Insurance organisations are required to have.

Types of Insurance

Many organisations and industries will have specific insurance needs, those discussed below are general coverage only.

- Employers Liability Insurance
- General Liability Insurance
- Public Liability Insurance
- Accident Insurance
- Property Insurance
- Vehicle Insurance

There would be others, and these also depend on whether your office is open to the public and if company vehicles are provided to staff for their use. The most important is probably the General Liability Insurance. This can also include Professional Liability. It provides for claims under bodily injury and property damage claims, to include copyright infringement and intellectual property issues.

If your organisation is planning an event, externally, or engaging with external stakeholders, they would be required to have this insurance.

Professional liability covers an organisation for services that could be considered professional in nature, whether you employ licensed professionals or not. If you have mentoring, educational, life skills, counseling, or case management exposure at all, then professional liability is a necessary consideration.

Employers Liability Insurance provides cover if any of your employees suffer physical injury or death, and it is proven that as an employer you acted negligently and subsequently could have prevented their loss. If they then decide to pursue you for compensation the insurer will pay the cost of the claim.

Consider the following examples where **Employers Liability Insurance** will provide cover:

- You run a carpentry company. One of your employees loses a finger while using a chop saw and decides to claim against you for his injury
- You are a scaffolding contractor and are erecting scaffolding around an apartment block. While erecting the scaffolding one of your employees falls and suffers severe bodily injury. He decides to claim against your firm.

Public & Employers Liability can be combined (known as combined Liability Insurance) with most insurers.

Employers Liability Insurance covers you against claims from your employees while Public liability insurance covers your business against claims from third parties.

In summary, Employers Liability Insurance is concerned with employee welfare and Public Liability Insurance is concerned with covering you from claims in respect of third parties.

In the event that an employee is physically injured or dies, they or their relatives will be able to sue your business for compensation. Employers Liability Insurance will cover you for the compensation that will have to be paid out along with associated legal costs.

You do not legally need Employers Liability Insurance under Irish Law although it is a compulsory insurance in Northern Ireland & the UK. Any company that has employees needs employers liability insurance.

A claim can arise in a number of different ways however usually it is the result of a workplace accident. Often employees suffer relatively minor injuries and are encouraged to sue their employers by 'no win no fee' lawyers.

The minimum & standard level available in Ireland is €13,000,000. It is possible to arrange up to €50,000,000 cover however €13,000,000 is adequate for the vast majority of businesses.

[For Northern Ireland & UK companies the standard level of Employers Liability Insurance cover is £10,000,000]

Remember, if a member of your staff is injured or involved in an accident while in the course of their work, whether on or off the company premises, the employer is liable for their injuries.

General Liability Insurance

The general liability insurance policy protects an employer against claims made against them in respect of their legal liability for personal injury or property damage by third parties. If they have

employees then the employer's liability insurance extension of the policy can protect them against claims made against their legal liability for death disease or injury sustained by employees during the course of their employment.

Everyone in business is exposed to the possibility of a claim being made against them and a general is no exception. Awards for personal injury can be high and even the cost of mounting a defence against the most frivolous claim can be costly. The general liability insurance can protect them against these costs.

Accident Insurance

Personal accident insurance is cover that protects an individual from an event where you suffer a serious injury, as a result of an accident, which prevents the individual from working.

The benefit of having personal accident insurance is that if the individual is unable to work due to an accident, then they will receive some financial support as well as their family. If they have an accident which prevents them from working, they will receive a regular income. Not all types of accidents are included so it's a good idea to check with providers which ones are covered.

Accidental death cover also provides for the payment of a lump sum if the policy holder dies directly as a result of injuries sustained in an accident, for example a car accident.

Property Insurance

It may not be a legal requirement to take out home insurance, but this type of cover can play a vital role in helping someone to protect their home and contents.

A typical home insurance policy will provide cover for damage to the home and belongings in the event of a fire, flood, storm or burglary.

Such as:

- Accidental damage - This provides cover for things we may do by accident such as spilling paint on the carpet.
- New for old - New for old allows for the replacement of goods as new instead of replacing the item at current value.
- Fire Brigade cover - This provides a level of cover for any fire brigade charges you may incur.

-
- Cost of alternative accommodation - If the house is made uninhabitable due to an event that they're insured for, this will cover rent needed to pay or owed.

Vehicle Insurance

Vehicle insurance is insurance for cars, trucks, motorcycles, and other road vehicles. Its primary use is to provide financial protection against physical damage or bodily injury resulting from traffic collisions and against liability that could also arise from incidents in a vehicle. Vehicle insurance may additionally offer financial protection against theft of the vehicle, and against damage to the vehicle sustained from events other than traffic collisions, such as keying, weather or natural disasters, and damage sustained by colliding with stationary objects. The specific terms of vehicle insurance vary with legal regulations in each region.



My notes on Insurance Requirements

Departmental Budgets

What is a departmental budget?

A budget is a statement of expected expenditure and income that has been allocated under a set of headings, for a set period of time. The two key purposes of a budget are:

- To demonstrate the financial implications of an organisation's or a department's proposed strategy and plans
- To be used as a basis for control.

There are two types of budget required within any organisational department:

- Monthly
- Annual

While it may not be the sole responsibility of the Supervisor to develop this, they will have some input into its development and should therefore understand this tool and how it is developed.

Many departments are required to submit their devised budgets to the Financial Manager for approval, and the more accurate it is, and clearly composed, the better chance of timely approval.

Many organisations have their own templates, but these can also be drawn up easily in Excel, and there are websites online which provide free templates for organisations. The industry and requirements of the department will determine the components of your budget.



My notes on What is a Departmental Budget?

Financial Definitions

These financial terms and definitions are for the most commonly used UK and Irish financial terms.

Certain financial terms often mean different things to different organisations depending on their own particular accounting policies.

Financial terms will have slightly different interpretations in different countries. So as a general rule for all non-financial business people, if in doubt, ask for an explanation from the person or organisation responsible for producing the figures and using the terms - you may be the only one to ask, but you certainly will not be the only one wondering what it all means. Don't be intimidated by financial terminology or confusing figures and methodology.

Always ask for clarification, and you will find that most financial Managers and accountants are very happy to explain.

- **Assets** - Anything owned by the company having a monetary value; eg, 'fixed' assets like buildings, plant and machinery, vehicles (these are not assets if rented and not owned) and potentially including intangibles like trademarks and brand names, and 'current' assets, such as stock, debtors and cash.
- **Asset Turnover** - Measure of operational efficiency - shows how much revenue is produced per £ of assets available to the business (sales revenue/total assets less current liabilities).
- **Balance Sheet** - The Balance Sheet is one of the three essential measurement reports for the performance and health of a company along with the Profit and Loss Account and the Cash flow Statement.

The Balance Sheet is a 'snapshot' in time of who owns what in the company, and what assets and debts represent the value of the company (it can only ever be a snapshot because the picture is always changing).

- The Balance Sheet is where to look for information about short-term and long-term debts, gearing (the ratio of debt to equity), reserves, stock values (materials and finished goods), capital assets, cash on hand, along with the value of shareholders' funds.

- The term 'balance sheet' is derived from the simple purpose of detailing where the money came from, and where it is now. The balance sheet equation is fundamentally: (where the money came from) Capital + Liabilities = Assets (where the money is now).
- Hence the term 'double entry' - for every change on one side of the balance sheet, so there must be a corresponding change on the other side - it must always balance. The Balance Sheet does not show how much profit the company is making (the P&L does this), although previous years' retained profits will add to the company's reserves, which are shown in the balance sheet.
- **Budget** - In a financial planning context the word 'budget' (as a noun) strictly speaking means an amount of money that is planned to spend on a particular activity or resource. This is typically over a trading year, although budgets apply to shorter and longer periods, and may refer to costs allocated to projects of flexible timescales.
- **Cash Flow** - The movement of cash in and out of a business from day-to-day direct trading and other non-trading or indirect effects, such as capital expenditure, tax and dividend payments.
- **Cash Flow Statement** - One of the three essential reporting and measurement systems for any company. The cash flow statement provides a third perspective alongside the Profit and Loss account and Balance Sheet. The cash flow statement shows the movement and availability of cash through and to the business over a given period, certainly for a trading year, and often also monthly and cumulatively. The availability of cash in a company that is necessary to meet payments to suppliers, staff and other creditors is essential for any business to survive, and so the reliable forecasting and reporting of cash movement and availability is crucial.
- **Cost of Goods Sold (COGS)** - The directly attributable costs of products or services sold, (usually materials, labour, and direct production costs). Sales less COGS = gross profit. Effectively the same as cost of sales (COS) see below for fuller explanation.
- **Cost of Sales (COS)** - Commonly arrived at via the formula: opening stock + stock purchases - closing stock. Cost of sales is the value, at cost, of the goods or services sold during the period in question, usually the financial year, as shown in a Profit and Loss Account (P&L).

- **Current Assets** - Cash and anything that is expected to be converted into cash within twelve months of the balance sheet date.
- **Current Liabilities** - Money owed by the business that is generally due for payment within 12 months of balance sheet date. Examples: creditors, bank overdraft, taxation.
- **Depreciation** - The apportionment of cost of a (usually large) capital item over an agreed period, (based on life expectancy or obsolescence), for example, a piece of equipment costing £10k having a life of five years might be depreciated over five years at a cost of £2k per year. In which case, the P&L would show a depreciation cost of £2k per year; the balance sheet would show an asset value of £8k at the end of year one, reducing by £2k per year; and the cash flow statement would show all £10k being used to pay for it in year one.
- **Dividend** - A dividend is a payment made per share, to a company's shareholders by a company, based on the profits of the year, but not necessarily all of the profits, arrived at by the directors and voted at the company's annual general meeting.
- **Fixed Cost** - A cost which does not vary with changing sales or production volumes, eg, building lease costs, permanent staff wages, rates, depreciation of capital items.
- **Gross Profit** - Sales less cost of goods or services sold. Also referred to as gross profit margin, or gross profit, and often abbreviated to simply 'margin'. See also 'net profit'.
- **Net Profit** - Net profit can mean different things so it always needs clarifying. Net strictly means 'after all deductions' (as opposed to just certain deductions used to arrive at a gross profit or margin). Net profit normally refers to profit after deduction of all operating expenses, notably after Profit and Loss Account (P&L) - One of the three principal business reporting and measuring tools (along with the balance sheet and cash flow statement).
- **P&L** - the P&L is a trading account for a period, usually a year, but also can be monthly and cumulative. It shows profit performance, which often has little to do with cash, stocks and assets (which must be viewed from a separate perspective using a balance sheet and cash flow statement).

The P&L typically shows sales revenues, cost of sales/cost of goods sold, generally a gross profit margin (sometimes called 'contribution'), fixed overheads and or operating expenses, and then a profit before tax figure (PBT). A fully detailed P&L can be highly

complex, but only because of all the weird and wonderful policies and conventions that the company employs.

Basically, the P&L shows how well the company has performed in its trading activities.

- **Overhead** - An expense that cannot be attributed to any one single part of the company's activities.
- **Return on Investment** - Another fundamental financial and business performance measure. This term means different things to different people (often depending on perspective and what is actually being judged) so it's important to clarify understanding if interpretation has serious implications.
- **Variable Cost** - A cost which varies with sales or operational volumes, e.g. materials, fuel, commission payments.
- **Working Capital** - Current assets less current liabilities, representing the required investment, continually circulating, to finance stock, debtors, and work in progress.²⁰

²⁰ "Property, Plant, and Equipment – PP&E Definition - Investopedia." 15 Aug. 2020, <https://www.investopedia.com/terms/p/ppe.asp>. Accessed 25 Aug. 2020.



My notes on Financial Definitions

Preparing a Departmental Budget

Managing a departmental budget is similar to managing a household budget, although corporate budgeting can involve many more stakeholders and is considerably more complex.

Unless you are starting a new department or function, there is likely already an existing budget for the department you are taking over. Review this budget carefully, and get all of your questions answered. You may or may not agree with that budget, but it should function as a baseline and a starting point for the new budget that you develop.

Possible Elements to be Considered

- Staff wages
- Utilities
- Insurance
- Maintenance costs
- Stationery costs
- Equipment costs
- Sales detail
- Canteen sundries
- Postage and / or courier costs
- Overtime
- Sundries
 - Training Costs
 - Agency staff costs
 - Sick leave coverage

This list above is not exhaustive and will vary depending on the needs of your industry, organisation, and department. Some organisations will also require a percentage contingency.

Outlined below are 5 steps to developing an effective Departmental Budget.

1. Determine your development goals for the department. Good goals are Specific, Measurable, Realistic, and Timely. Goals should always be reasonable, not outlandish, and within the scope of the department to achieve. Remember to be specific in all aspects of the goal.
2. Review old budgets for your department to see how these may be improved on, and general expected income and expenditure patterns. If you don't have historical budgets for

your department, it may be possible to obtain these for a similar department or organisation to use for estimation. Get input from experts within the department on the cost of items, anticipated income, etc.

3. Define the fixed costs of your budget, such as payroll, facilities, taxes, insurance, and raw materials.
4. Analyse projected income and expenses, consider seasonal and market influences, and include a contingency for any unexpected expenses such as an urgent need for new or replacement equipment.
5. Compare your budget against previous budgets and other departments to ensure you have not omitted any possible expenses.



Learning Activity:

List the elements you will need to consider for your Departmental Budget.



My notes on Preparing a Departmental Budget

Further Reading and Resources

www.mindtools.com

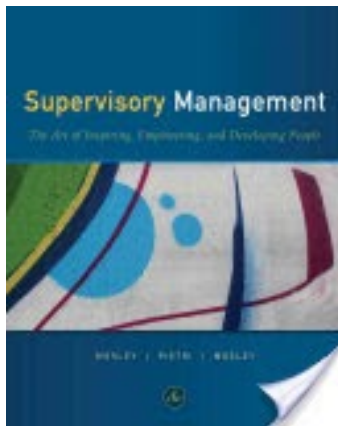
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www.youtube.com/watch?v=ctfYQD2BiqI

Responsibilities of a Manager & Supervisor, Stephen Goldberg

<https://www.employerresources.ie/>

Providing managers and employers from the Irish community and voluntary sector with free information and guidance on all matters relating to HR legislation and best practice.

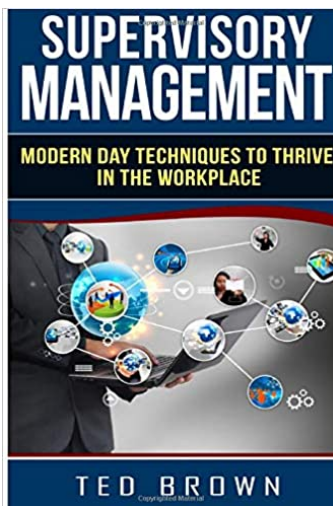


Title: Supervisory Management: Principles and Practice

Author: Dave Evans

ISBN-10: 0826457339

ISBN-13: 978-0826457332

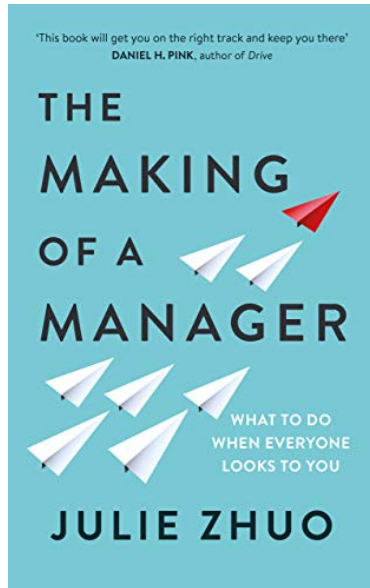


Title: Supervisory Management: Modern Day Techniques To Survive In The Workplace

Author: Ted Brown

ISBN-10: 1515336395

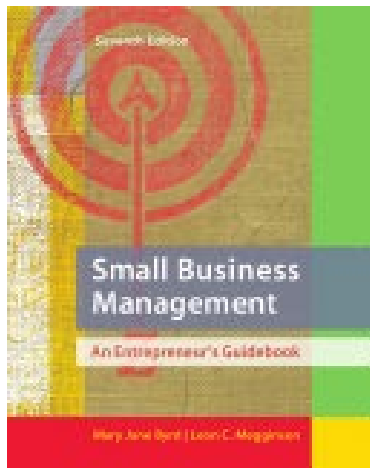
ISBN-13: 978-1515336396



Title: The Making of a Manager: What to Do When Everyone Looks to You

Author: Julia Zhuo

ISBN-10: 0735219567
ISBN-13: 978-0735219564



Title: Small Business Management: An Entrepreneur's Guidebook: Seventh Edition

Author: Mary Jane Byrd, Leon Megginson

ISBN-13: 978-0078029097
ISBN-10: 0078029090

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Appendix I: Sample SOP

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STANDARD OPERATING PROCEDURE
SOP 1 EMERGENCY PLANS

Page: 7 of 7
Issue: Rev001
Date: 01/08/2020
Issued By: John Smith

1.0 Scope

This procedure details how safety emergency situations are dealt with by the company. Emergency situations may arise as a result of the failure of planned actions to control risks or the failure to plan for unforeseen risks.

This procedure covers the following principal activities:

- Fire emergency plan
- Fire instruction and drills.
- Fire fighting equipment checks.
- First Aid Procedures

2.0 Purpose

This procedure is to ensure that have made every effort to ensure that all foreseeable risks have been attenuated.

3.0 Responsibility & Authority

The Business Director is responsible & authorised to identify any potential emergency situations and ensuring that emergency plans are developed to control such situations and are communicated effectively to all relevant personnel. On site it is the responsibility of the Toolpusher to ensure all operatives are made aware of the emergency procedures.

All staff and persons working for or on the company's behalf are required to familiarise themselves with and adhere to, the Emergency Response Plan and/ or relevant work instructions.

4.0 Related Documentation

Emergency Plan
Site Emergency Arrangements
Fire Drill Record Form
Fire fighting equipment records
Training records
Continuity plan

5.0 Procedure

- 1) Emergency arrangements are developed, including emergency numbers and these are communicated to all employees via the induction process and also form part of the office health and safety folder and are displayed on the notice board. All company vehicles carry first aid equipment in the event of an emergency.
- 2) In planning emergency response, the company has taken into account the needs of neighbouring businesses and also the emergency services.
- 3) The Emergency Response Plan is displayed in the office and communicated to all personnel as part of the company induction. The training shall cover first aid allocation, response to fire, dealing with situations which have given rise to accidents and ensuring personal safety, and how to summon aid.
- 4) Fire fighting equipment is maintained and serviced by an outside contractor and the records of this are visible on the equipment.
- 5) Where appropriate the work instructions and method statements as well as the evacuation procedure shall be tested once a month at least, as part of ongoing training and to ensure the effectiveness of the procedure in the event of a real emergency. The Business Director shall maintain records of such drills.
- 6) Emergency Response procedures and work instructions shall be reviewed by Management at least on an annual basis and/ or following an accident/ incident, drill or change in process. The results of the reviews shall be recorded in the minutes of the meeting and the relevant documents amended as necessary.

- 7) The BCP (Business Continuity Plan) shall be tested on at least an annual basis as part of ongoing task and to ensure the effectiveness of the procedures in the event of a real emergency.

EMERGENCY EVACUATION PLANS FOR COMPANY OFFICES

POSSIBLE CAUSES FOR EVACUATION

The main probable cause for emergency evacuation:

FIRE SAFETY – GENERAL

COMPANY is committed to the provision of safe workplaces, and this includes appropriate fire precautions to prevent fires, detect them if they arise and ensure the safe and swift evacuation of everyone from a building in which a fire has started.

The Managing Director is responsible for ensuring that the organisation complies with the general requirements for good fire protection, including where appropriate the maintenance and testing of firefighting equipment and the provision of suitable fire exit routes with appropriate signage and maintained and tested emergency lighting.

The Managing Director, when performing risk assessments, is responsible for checking on the local arrangements for fire protection including the maintenance of fire exit routes free from obstructions, the briefing of staff, and participation in tests and drills.

Every employee is responsible for maintaining fire safety by avoiding creating fire hazards with either flammable materials (careful storage, disposal) or sources of ignition (smoking, electrical equipment).

Fire exits and routes must be kept clear and, in the event of an alarm, employees are required to make an orderly exit and assemble at the designated assembly point.

FIRE EMERGENCY PROCEDURES

ACTION ON DISCOVERING A FIRE:

- Keep calm
- Raise the Alarm
- Call other persons on site and let them know where the fire is.
- If possible, and without putting yourself at risk, tackle the fire. Use an extinguisher appropriate to the type of fire.
- Keep yourself on the side of the fire near to an exit.
- If the fire is too large to be tackled, evacuate without delay.
- Go to the assembly point.
- Do not re-enter the site until given the all-clear by the Fire Brigade.

ACTION ON HEARING THE FIRE ALARM:

- Keep calm
 - Leave without delay, using the nearest exit from the site.
 - Do not stop or go back to collect personal belongings.
 - Go without delay to the designated assembly point.
 - Do not re-enter the site until given the all clear by the Fire Brigade.
- The senior person present must ensure at the assembly point that all visitors and employees have evacuated, and are prepared to brief the emergency services.

EMERGENCY EVACUATION DRILLS

- a. An Emergency Evacuation Drill will be conducted at least once a month.
- b. As little prior warning as possible will be given of an Emergency Evacuation Drill.
- c. If possible, an emergency exit will be blocked during each drill to help illustrate the effect of a real fire, and to check the effect on evacuation times.

EMERGENCY EVACUATION DRILLS: RESPONSIBILITY FOR

Arranging and conducting Emergency Evacuation Drills, and recording same, is the responsibility of the Managing Director

EMERGENCY ESCAPE FACILITIES

Emergency Exits and Escape Routes

Emergency exits are sign posted as required by regulation.

Staff are also briefed on the importance of keeping emergency exits and escape routes free of obstruction at all times.

Emergency Lighting System

Will be maintained by a competent contractor on a quarterly basis and will be recorded in the fire register for the building

Fire Extinguishers

At each Fire Point the following will normally be located:

- Fire extinguishers: normally two, of a type suited to the fire risk in the vicinity;
- A FIRE ACTION notice, indicating action to be taken in the event of fire;

All extinguishers will be maintained on an annual basis and service will be recorded in the fire register for the building

Fire Alarm

Will be maintained on a quarterly basis, by competent contractors. The fire alarm panel is located in the main reception area and weekly bell tests will be carried out and documented in the fire register

FIRE SAFETY NOTICES

A Fire Safety Notice is posted at each Fire Point, and at other locations throughout the facility.

FIRE ASSEMBLY POINT

The Fire Assembly Point is located in the car park area.

EMERGENCY NUMBERS

A list of emergency contact numbers is posted in the general office and any external sites.

FIRST AID ARRANGEMENTS

COMPANY is committed to providing suitable and sufficient first aid facilities for staff. All employees should be aware that, in the event of a medical emergency, efforts should be made to seek professional medical assistance, even though first aid facilities are available. Dial 999 (or 112 on a mobile phone) to contact the emergency services.

The management of first aid is formally assigned to The Managing Director who shall ensure compliance with this policy and best current practice.

A First Aid box will also be located in the main office and in any associated vehicles.

Employees will be briefed on the importance of familiarising themselves with the contact details for the nearest doctor and hospital that should be held and be readily available.

In the event of an accident resulting in first aid being administered, the person rendering first aid shall ensure that a record is made as to first aid treatment.

Where reasonably practicable, we shall identify a rest area which may be used in the event of a medical emergency.

Note:

- ❑ Medicine should not be administered other than by medically qualified personnel.

It is noted that First Aiders are initially qualified by completing an approved Occupational First Aider Course and are re-qualified as required by regulation every three years, and that *Approved Occupational First Aid Instructors* are those registered with the *National Ambulance Training Board*.