QQI Supervisory Management

Course Introduction

Damian McCourt

Welcome!

In this introductory module:

- Course aims, objectives and outcomes
- Course structure
- Overview of QQI level 6 training awards
- Overview of course assignments

Course aim

The aim of this training is to enable learners to develop the competencies required for the effective supervision of individuals and teams in an organisational context

Course objectives

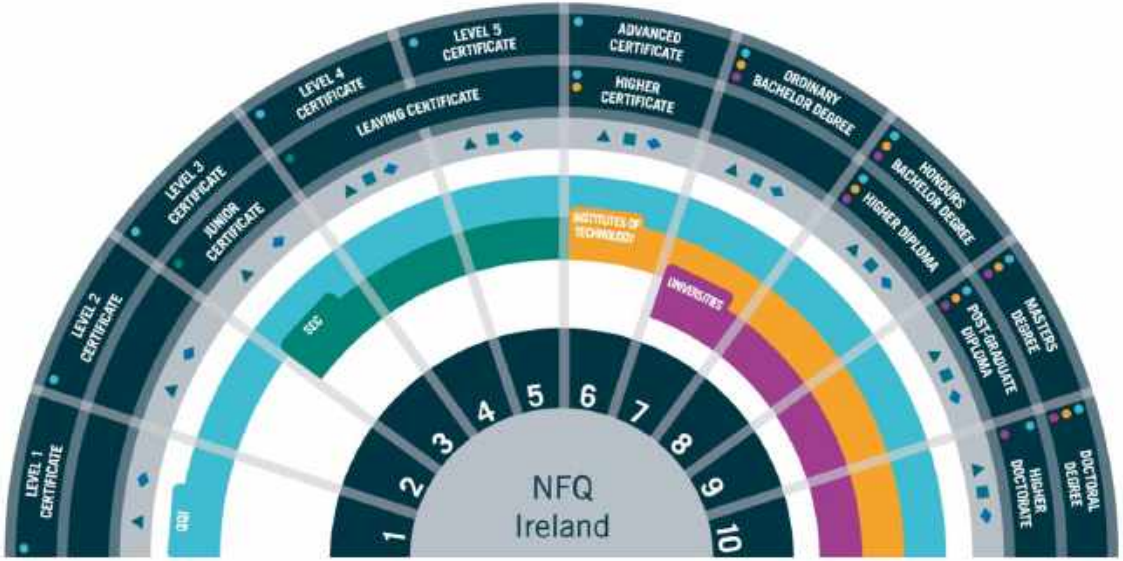
- Comprehensively understand the duties and responsibilities of a supervisory manager in the modern workplace
- Be able to develop and use high quality systems, procedures and standards
- Understand how employment and data protection legislation affect your role
- Understand the supervisor’s role in the recruitment and employment process
- Assess and manage risk in your department and put adequate insurance in place
- Learn how to create and maintain departmental budgets and operational records
- Carry out staff appraisals and provide constructive feedback
- Create staff training, development and improvement plans

Course Structure

Eight broad topics:

Management theory and practice	**Videos 2 to 6**
Legislation and workplace relations	**Videos 7 and 8**
Standard operating procedures	**Videos 9 and 10**
Records management	**Videos 11 and 12**
Recruitment, training and development	**Videos 13 to 16**
Risk awareness and insurance	**Videos 17 to 19**
Departmental budgeting	**Videos 20 and 21**
Completing your assignments	**Videos 22 and 23**

QQI Level 6 Training Awards


LEVEL 1 CERTIFICATE
LEVEL 2 CERTIFICATE
LEVEL 3 CERTIFICATE
JUNIOR CERTIFICATE
LEVEL 4 CERTIFICATE
LEAVING CERTIFICATE
LEVEL 5 CERTIFICATE
ADVANCED CERTIFICATE
HIGHER CERTIFICATE
ORDINARY BACHELOR DEGREE
HONOURS BACHELOR DEGREE
HIGHER DIPLOMA
MASTERS DEGREE
POST-GRADUATE DIPLOMA
DOCTORAL DEGREE
HIGHER DOCTORATE
QQI
SEC
INSTITUTES OF TECHNOLOGY
UNIVERSITIES
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QQI Level 6 Training Awards

- **Supervisory Management (6N4239)**
- People Management (6N3945)

CERTIFICATE

SUPERVISORY MANAGEMENT

CAROLINE THOMPSON

Assignments!

- Essay assignment - 3,500 words 60%
- Portfolio of work - 2,000 words 40%
- **Assignment Brief document – important!**

Assignments!

Pass: 50% to 64%	Know the material
Merit: 65% to 80%	Be able to apply what you have learned to your workplace
Distinction: 80% +	Deep understanding, research outside the coursework, written and presented professionally

Assignments!

- Make use of the course manual!
- Video 22: structuring and formatting your assignment
- Video 23: step-through of each assignment in detail

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QQI Supervisory Management

Introduction to Supervisory Management

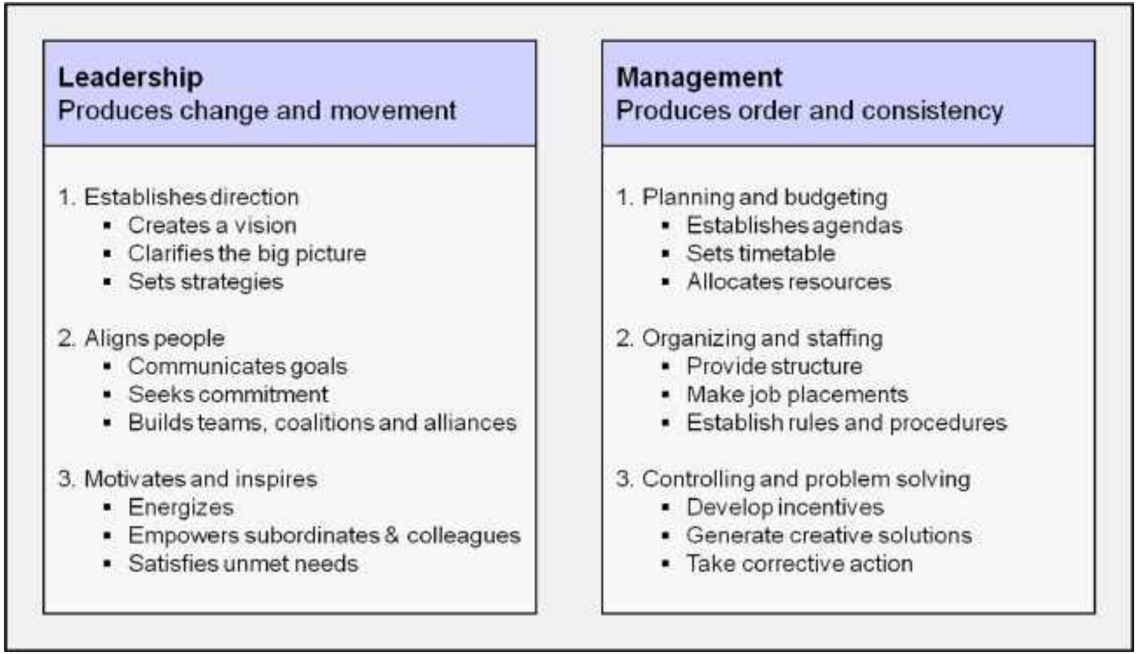
Damian McCourt

In this module

- Management and Leadership
- Supervisory management and the supervisor role
- Common issues

Leader or Manager?

- Kotter Leadership Model



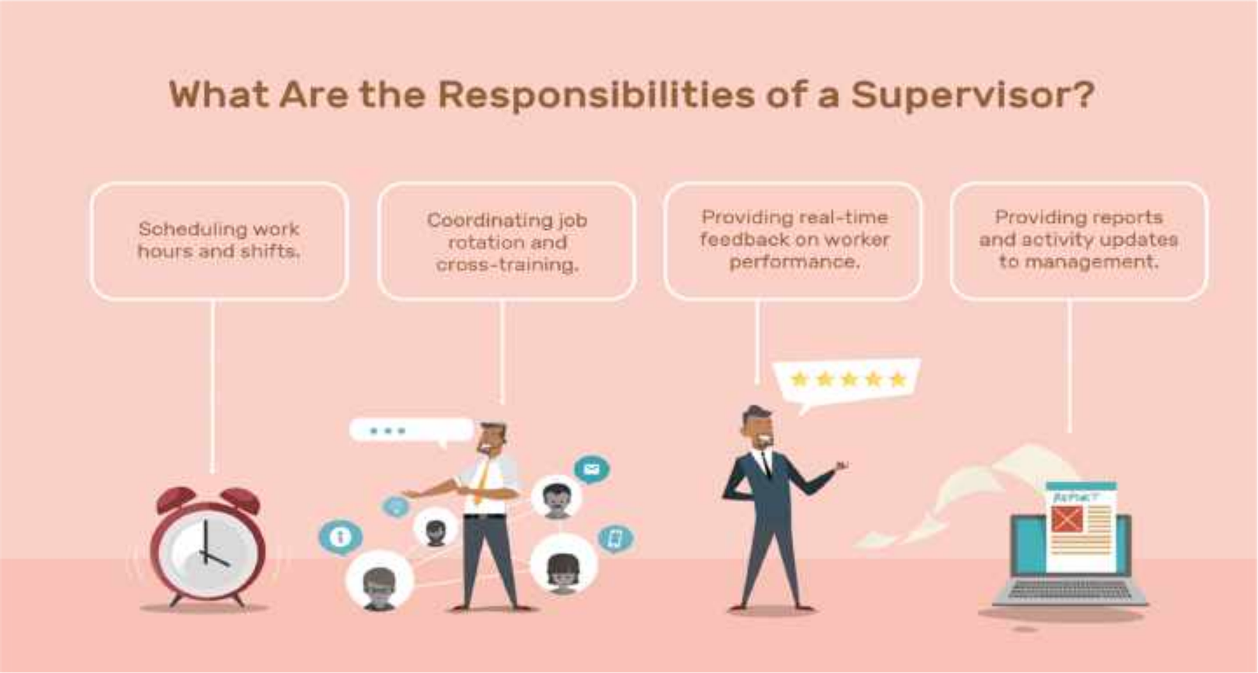
Leadership
Produces change and movement

1. Establishes direction
    - Creates a vision
    - Clarifies the big picture
    - Sets strategies
2. Aligns people
    - Communicates goals
    - Seeks commitment
    - Builds teams, coalitions and alliances
3. Motivates and inspires
    - Energizes
    - Empowers subordinates & colleagues
    - Satisfies unmet needs

Management
Produces order and consistency

1. Planning and budgeting
    - Establishes agendas
    - Sets timetable
    - Allocates resources
2. Organizing and staffing
    - Provide structure
    - Make job placements
    - Establish rules and procedures
3. Controlling and problem solving
    - Develop incentives
    - Generate creative solutions
    - Take corrective action

Supervisory Management



What Are the Responsibilities of a Supervisor?

- Scheduling work hours and shifts.
- Coordinating job rotation and cross-training.
- Providing real-time feedback on worker performance.
- Providing reports and activity updates to management.

Supervisory Management

"The action of overseeing and managing employees in the workplace"

- Team lead
- Shift manager
- Support supervisor
- Nurse manager
- …

The Supervisor Role

- Help the team understand performance targets and goals
- Ensuring that staff are properly trained and equipped for their specific roles
- Scheduling work hours and shifts
- Coordinate job rotation and cross-training
- Assisting in recruitment and termination activities

The Supervisor Role

- Provide real-time feedback on team member performance
- Share company updates and objectives with team members
- Identify and resolving workplace problems
- Provide reports and activity updates to management
- Problem management

Supervisor Qualities

- Deep understanding of the team’s work
- Often a promoted technical expert
- Awareness of workplace legislation and support units
- ‘Management’ skills: budgeting, recording, detailing roles and tasks, managing performance
- This course: a supervisor’s toolkit!

Supervisor issues

- Tendency to favour technical over supervisory tasks
- Comfort zone work!
- Failing to delegate (people management)
- Supervising former colleagues
- Lack of role clarity
- Failing to measure

Measuring your team?

- Detailing how tasks should be completed…
- So that you can measure performance and quality
- Detailing and maintaining team roles
- Knowing how much your team costs to run
- Measuring compliance
- Provide feedback based on behaviours

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QQI Supervisory Management

Leadership Styles

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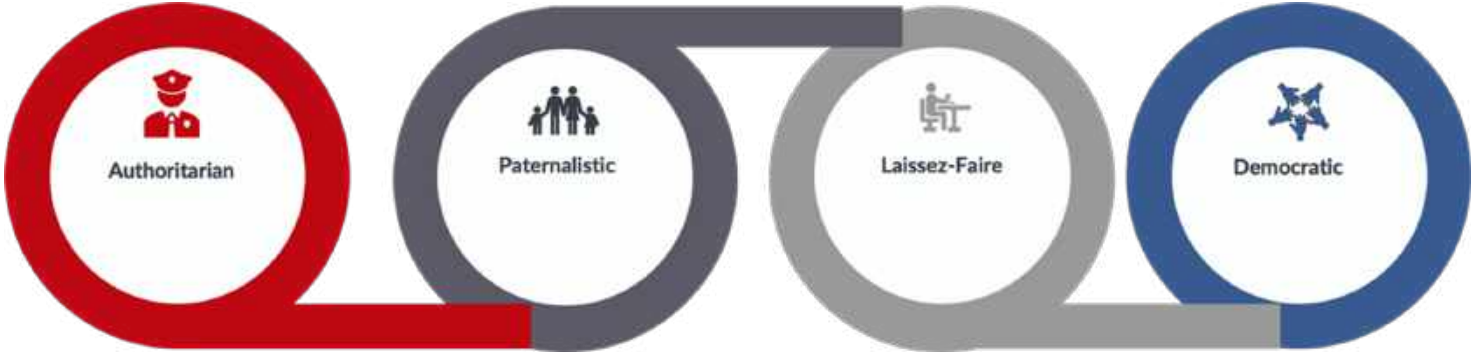
In this module

- Lewin’s leadership styles
- Hershey and Blanchard

Lewin’s Leadership Styles


Authoritarian
Paternalistic
Laissez-Faire
Democratic

Lewin’s Leadership Styles: Authoritarian

- Direct and control activities
- Expect subordinates to do as they’re told
- Communication is top-down and one-way
- Reward and penalty systems common
- Highly regulated or legislated work, mission critical processes

Lewin's Leadership Styles: Paternalistic

- Similar to authoritarian but with a caring attitude
- Employee needs more likely to be addressed
- But still little consultation or delegation
- But the paternalistic leader will explain actions
- Can be reassuring or frustrating, depending on the work

Lewin’s Leadership Styles: Laissez-faire

- Leader exercises little day-to-day control
- Conscious decision – not abdication of power
- Employees free to work as they see best
- Expert, motivated, trusted employees
- Highly creative work

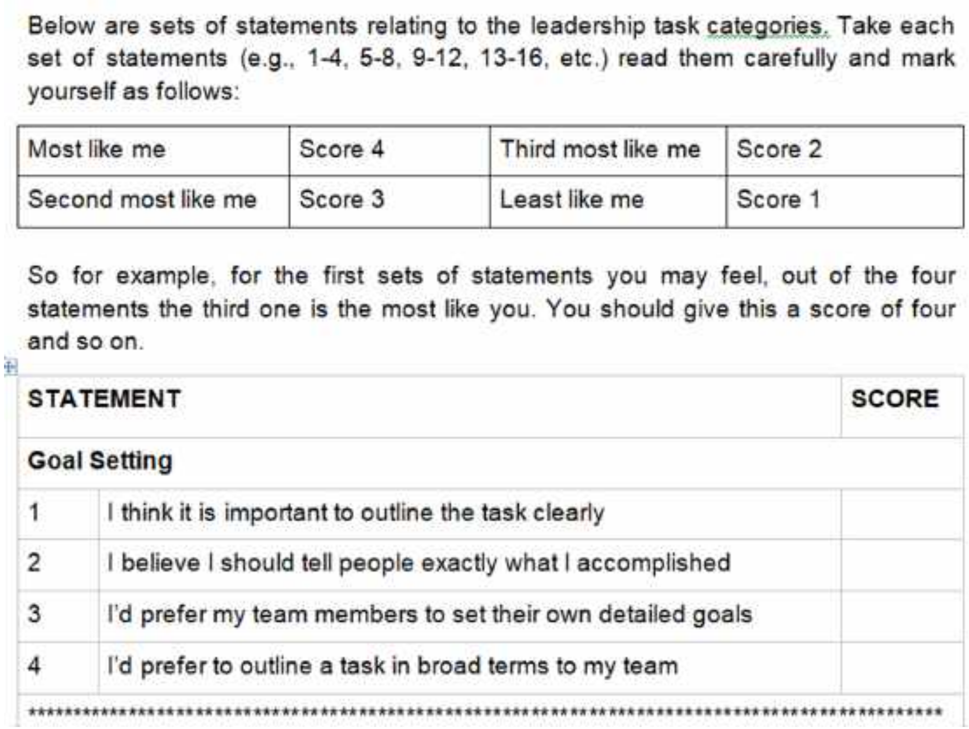
Lewin's Leadership Styles: Democratic

- Whole team has a measure of power and control
- Shared decision-making
- Consultation and delegation common
- Leader still has final say
- Skilled, experienced team members with creative freedom
- Downsides when quick decisions required

Situational Leadership Model

- Hershey and Blanchard
- Good leaders modify their style based on the situation and the team member
- Leadership style questionnaire!

Situational Leadership Model



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:

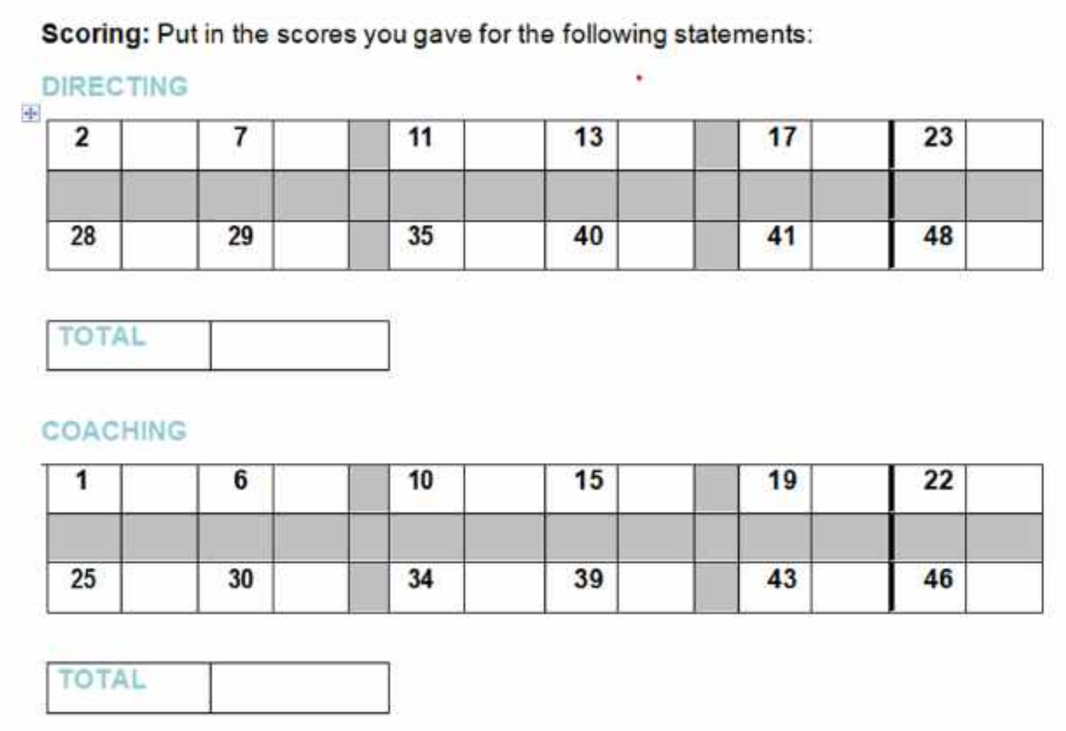
Most like me	Score 4	Third most like me	Score 2
Second most like me	Score 3	Least like me	Score 1

So for example, for the first sets 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	

****

Situational Leadership Model



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

DIRECTING

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

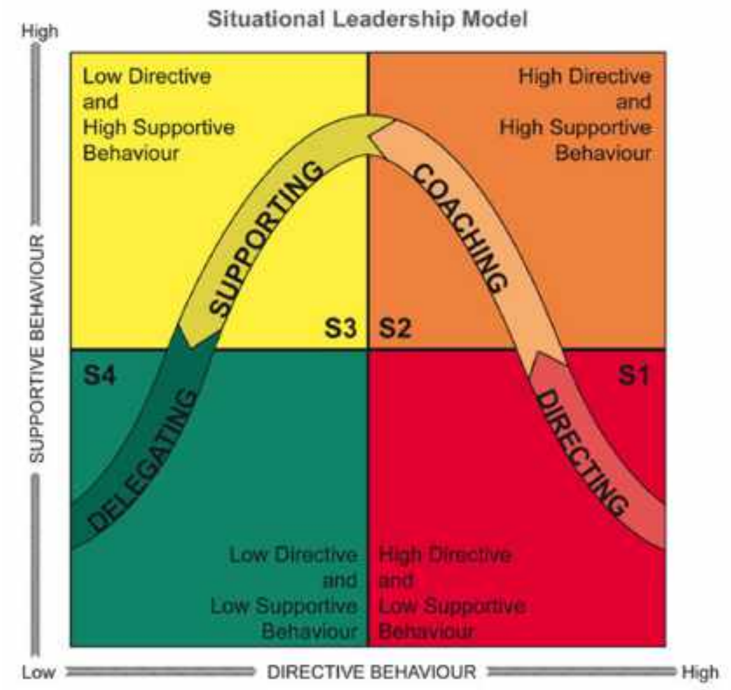
TOTAL	

COACHING

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

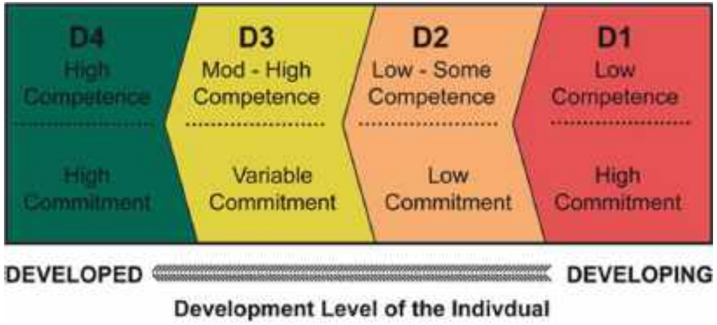
TOTAL	

Situational Leadership Model



Situational Leadership Model

High
SUPPORTIVE BEHAVIOUR
Low
DIRECTIVE BEHAVIOUR
High
Low Directive
and
High Supportive
Behaviour
High Directive
and
High Supportive
Behaviour
SUPPORTING
COACHING
S3
S2
S4
S1
DELEGATING
DIRECTING
Low Directive
and
Low Supportive
Behaviour
High Directive
and
Low Supportive
Behaviour



D4	D3	D2	D1
High Competence	Mod - High Competence	Low - Some Competence	Low Competence
High Commitment	Variable Commitment	Low Commitment	High Commitment

DEVELOPED
DEVELOPING

Development Level of the Indivdual

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Situational Leadership Model

- The right level of direction
- The right level of support
- To the right team member
- Awareness of your default style of managing

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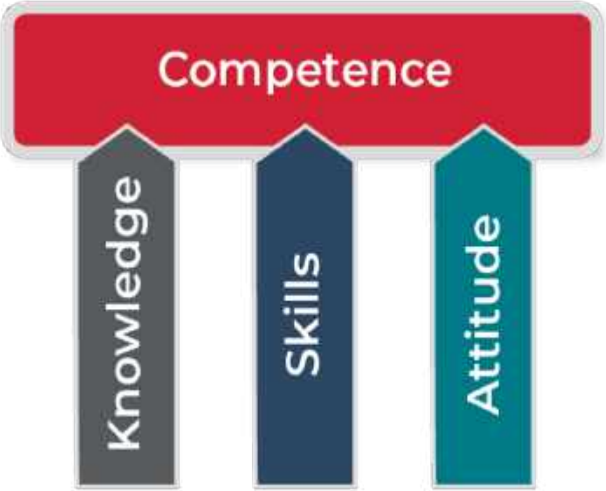
Situational Leadership Model

- Knowledge
- Skills
- Attitudes
- Module 13 – 15: recruitment, training and development


Competence
Knowledge
Skills
Attitude

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QQI Supervisory Management

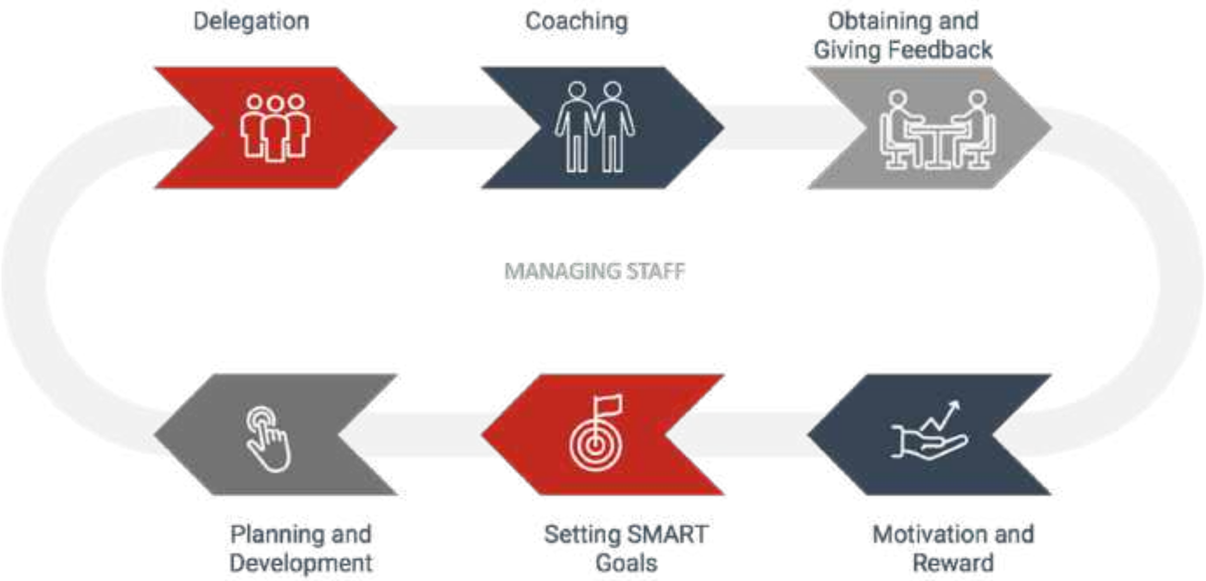
The People Management Cycle

Damian McCourt

In this module

- The People Management Cycle
- SMART goals
- SAID feedback model
- Where supervisory management fits in

People management cycle



Delegation

Coaching

Obtaining and Giving Feedback

MANAGING STAFF

Motivation and Reward

Setting SMART Goals

Planning and Development

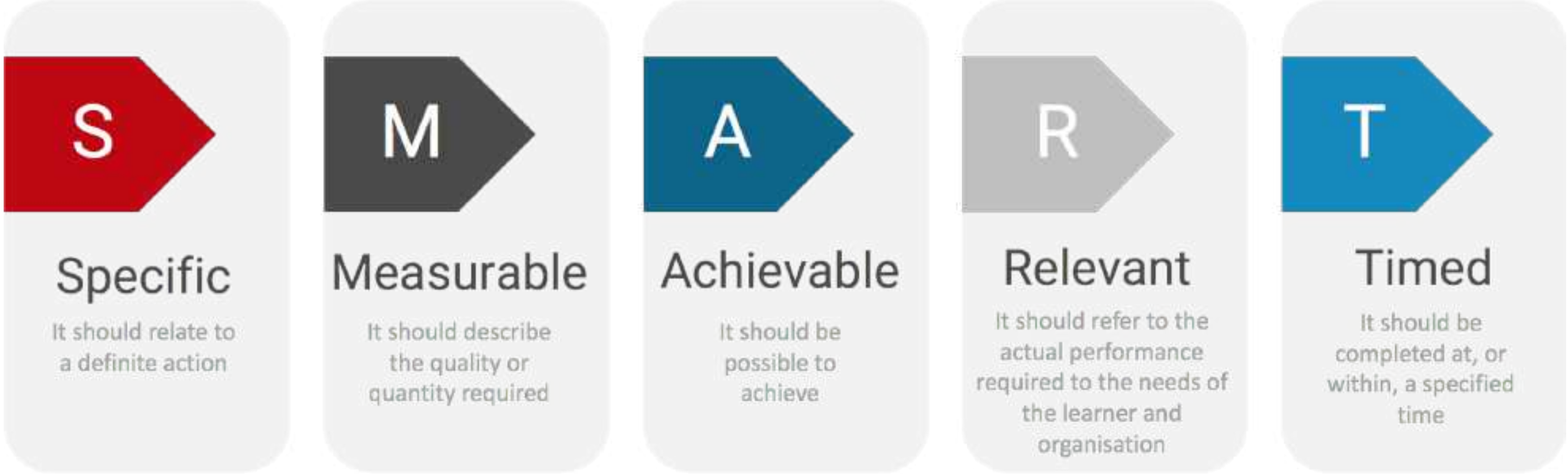
People Management Cycle

- Set goals
- Plan how to make them happen
- Delegate the required work
- Coach to help the team complete it
- Provide feedback to manage performance
- Motivate for effort, reward success

Supervisory Management

- The supervisory manager may not be setting the goals
- But you will be measuring progress
- And managing performance via feedback
- SMART Goals and the SAID feedback model

SMART Goals



S

Specific

It should relate to a definite action

M

Measurable

It should describe the quality or quantity required

A

Achievable

It should be possible to achieve

R

Relevant

It should refer to the actual performance required to the needs of the learner and organisation

T

Timed

It should be completed at, or within, a specified time

SMART Goals

- SMART enables accurate measurement of success
- Must have something to measure against
- SOP – standard operating procedures
- Budgets
- PIP and PDP – performance improvement and development

Feedback

- Timely
- Based on observed or measured behaviours
- Focused on solutions, not blame

SAID Feedback Model

Standard	This is what should happen
Action	This is what happened this time
Impact	This was the impact on the team
Do/develop	What will we do to stop it happening again?

SAID Feedback Model

- ‘Standard’ depends on existence of SOPs
- Based on observed behaviours…
- …and how they affect the team or organisation
- No judgment, focus on solutions and joint responsibility
- PIP if necessary, incorporating SMART goals

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QQI Supervisory Management

The Supervisor Skillset

Damian McCourt

In this module

- Effective communication
- Self-management
- Working hours
- Workbook activity – emotional intelligence

Communication

- Downwards – manager to staff
- Upwards – staff to manager to senior managers
- Sideways – between staff, between managers
- Back channels!
- Planned!

Active listening

- Most time ‘listening’ is spent waiting to reply
- Prior experience, judgments, bias
- Full attention – distractions
- Neutralise your body language
- Silence your inner voice
- Summarise what you’ve heard

Active listening

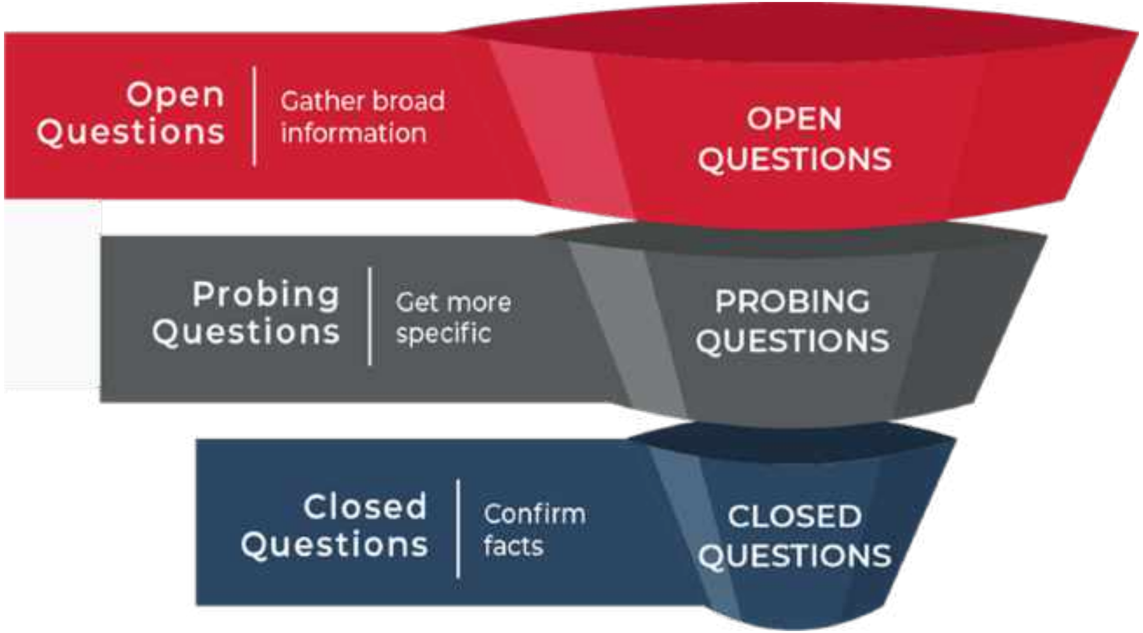
Summarising:

- Shows you’ve been listening
- Ensures that you’ve understood
- Helps to identify your own preconceptions and biases
- Iterative process

Questioning

- Asking questions is a management skill!
- Closed: yes or no answer
- Open: descriptive answer required
- Limiting: choose between options
- Funneling

Funnelling


Open Questions
Gather broad information
OPEN QUESTIONS
Probing Questions
Get more specific
PROBING QUESTIONS
Closed Questions
Confirm facts
CLOSED QUESTIONS

Not all time is equal!

- Attention is a resource
- Productivity varies by:
    - Time of day
    - Relationship to downtime
    - Distractions

Task Scheduling

- Creating time by rearranging your working day
- How automatic is this task?
- Do I often make mistakes?
- Do I get interrupted or blocked?
- Do I find my mind wandering?
- Do I often get stressed doing this?

Task Scheduling

- Represent your day visually

Task Prioritisation

- Not all work is equal
- Crises, fire-fighting
- Other people’s urgent tasks
- Technical work you should be delegating
- Eisenhower box

	URGENT	NOT URGENT
IMPORTANT	QUADRANT 1 **REDUCE** Deals with crisis management. Reduce time spent in this quadrant by doing more work in quadrant 2	QUADRANT 2 **SCHEDULE** Involves future planning through strategic thinking. Requires initiative. Spend more time here
NOT IMPORTANT	QUADRANT 3 **DELEGATE** Empower team by assigning tasks in this quadrant. Enable your team to do independent decision making.	QUADRANT 4 **DECLUTTER** Eliminate tasks that do not align with company's mission and goals. Learn to say no to them

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Effective working hours

- Your working hours?
- Maximum productive hours
- World War 1
- Research driven by productivity…

National Shell Filling Factory in Chilwell, UK (1916)

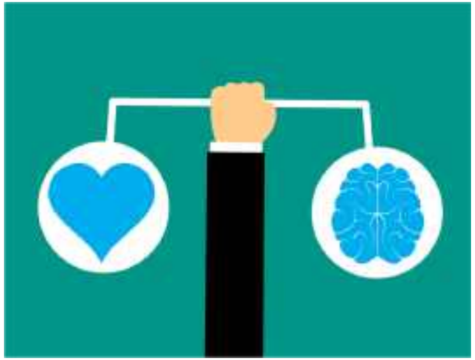
Effective working hours

- …and safety concerns
- Effective productivity over time
- 50 hours per week max
- 40-45 hours for complex work
- Why do we work more?
- Productivity or presence?

National Shell Filling Factory in Chilwell, UK (1918)

Emotional Intelligence

- More and more recognised as an important management skill
- Awareness of your feelings…
- …and how they influence your behaviours
- Workbook activity – Perception and Reality



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QQI Supervisory Management

Diversity and Inclusion at work

Damian McCourt

In this module

- Defining diversity and inclusion
- Competitive advantage
- Managing diversity
- Workplace diversity legislation

Diversity?

- Empowering people by recognising and appreciating what makes them different
- Different how?
- Via any characteristic that can be used to group people together

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Diversity

Political Belief

Mental Illness

Hair colour

National Origin

Age

Disability

Illness

Training

Ethnicity

Handedness

Sports / Hobbies

Personality

Diet

Gender

Marital Status

Education

Sexual orientation

Social Background

Music preference

Religious Belief

Parental Status

Experience

Body type

Inclusion?

- Being valued, heard and respected…
- …while being able to be yourself
- Inclusion is about taking advantage of diversity to improve the organisation
- Diversity and inclusion as managed processes for competitive advantage

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Competitive Advantage

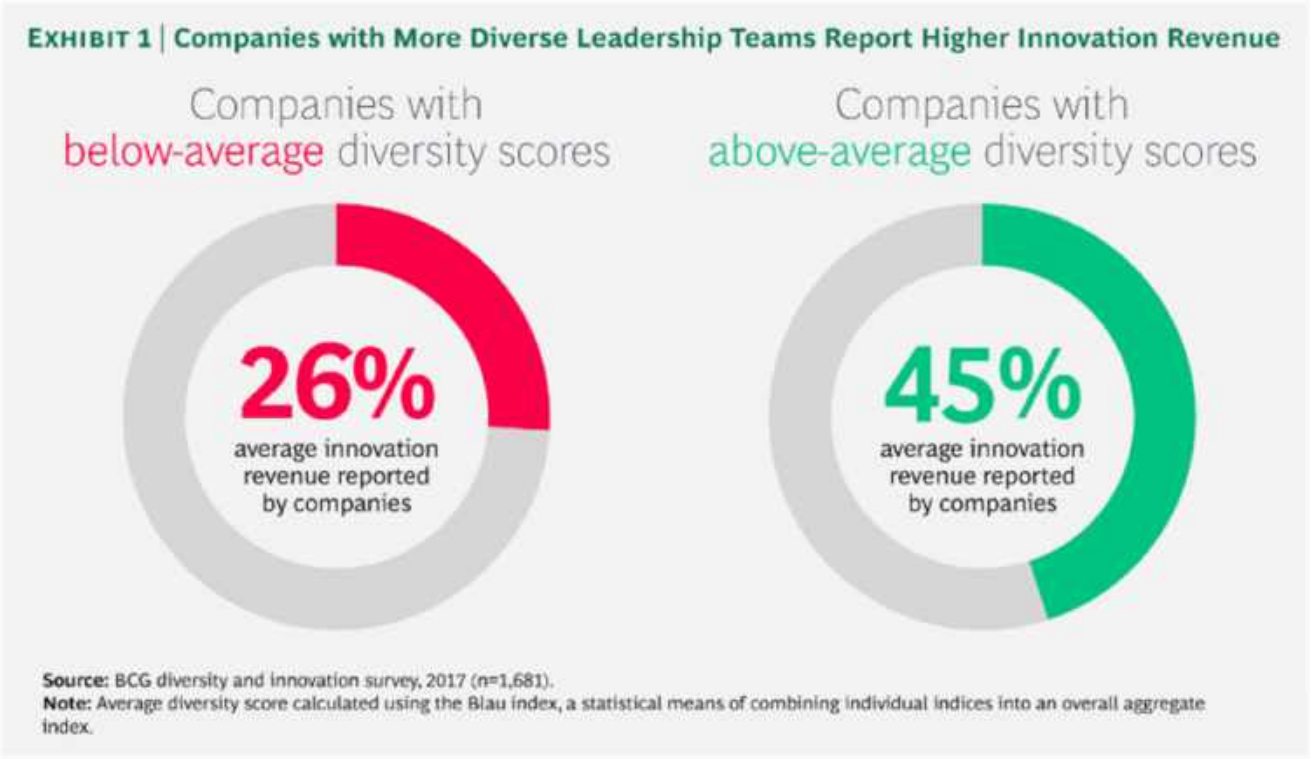
- Comprehensively studied for competitive advantage

Organisations that manage diversity and inclusion:

  - Are better at innovating
  - Adapt more quickly to changing market conditions
  - Operate more effectively in global markets
  - Are perceived more positively by customers
  - Attract skilled staff more easily

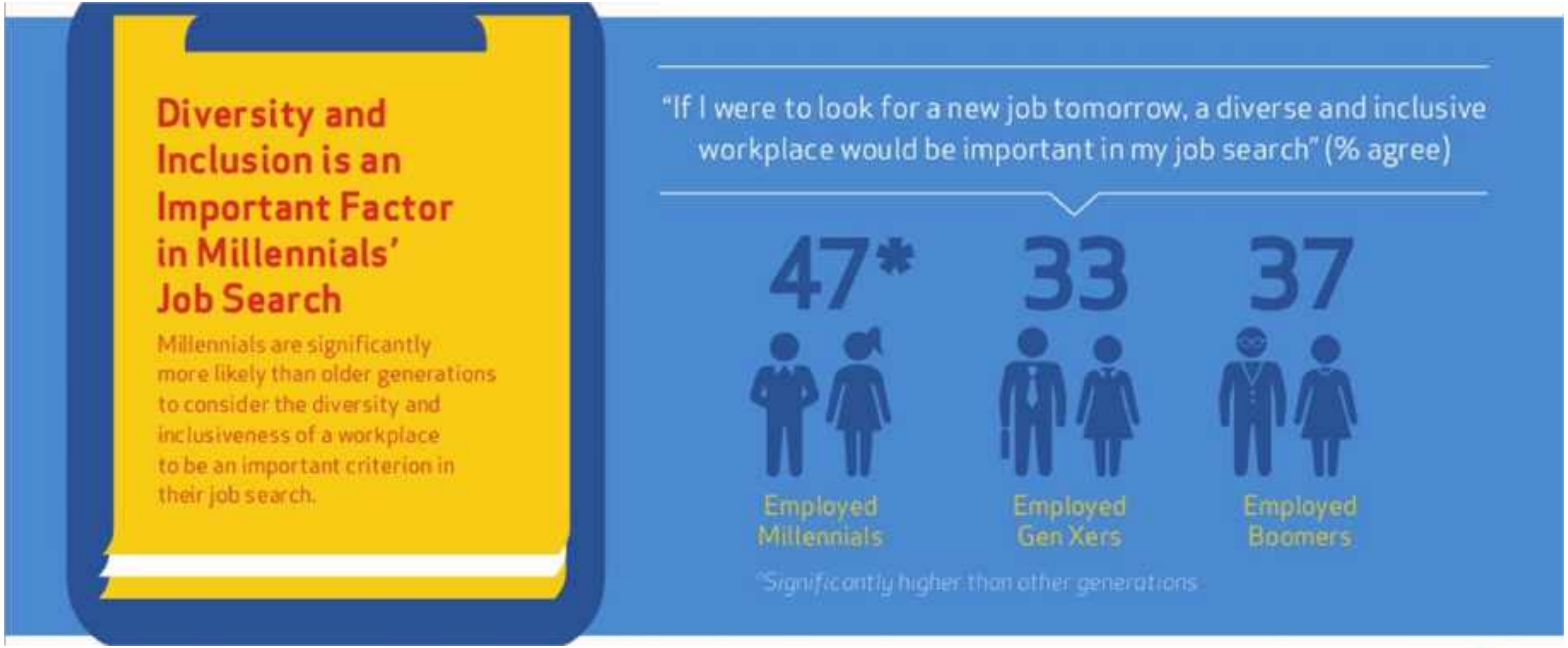
Competitive Advantage

Exhibit 1 | **Companies with More Diverse Leadership Teams Report Higher Innovation Revenue**



Source: BCG diversity and innovation survey, 2017 (n=1,681).
Note: Average diversity score calculated using the Blau index, a statistical means of combining individual indices into an overall aggregate index.

Competitive Advantage



Diversity and Inclusion is an Important Factor in Millennials' Job Search

Millennials are significantly more likely than older generations to consider the diversity and inclusiveness of a workplace to be an important criterion in their job search.

"If I were to look for a new job tomorrow, a diverse and inclusive workplace would be important in my job search" (% agree)

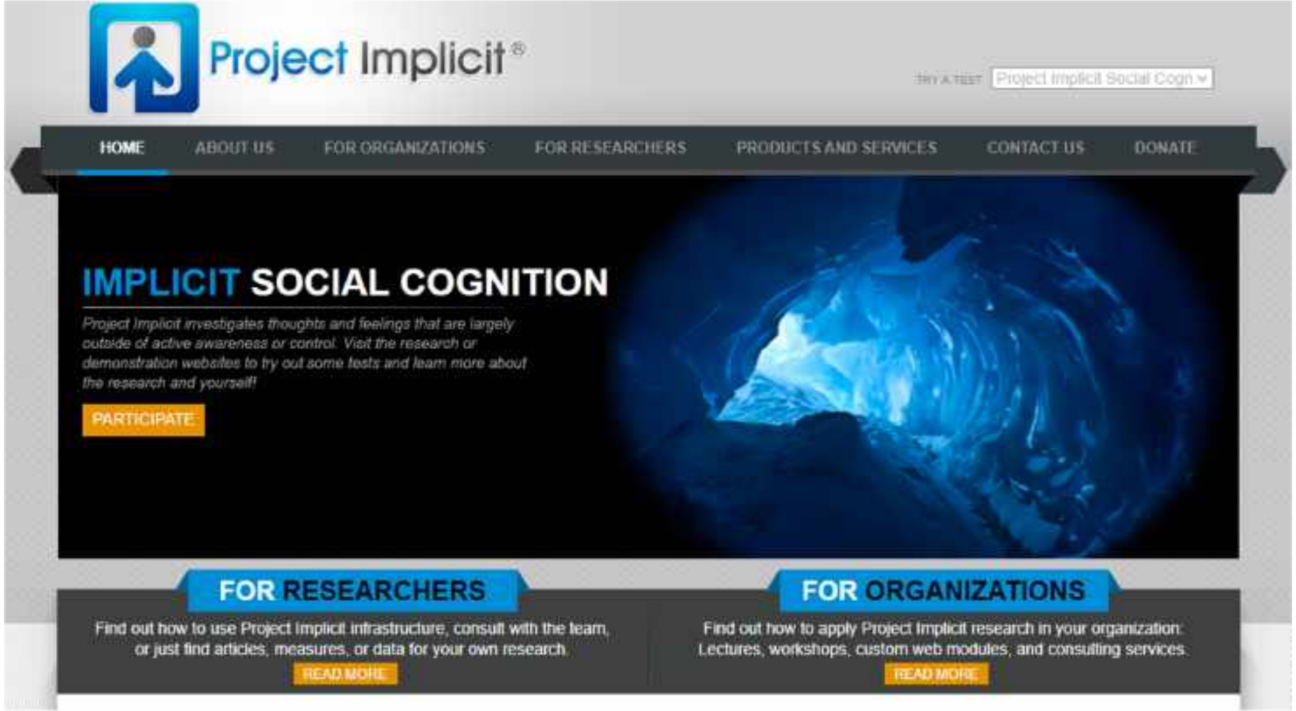
47*	33	37
Employed Millennials	Employed Gen Xers	Employed Boomers

*Significantly higher than other generations

Competitive Advantage

- Increasingly diverse customers, global markets
- Recruiting from an increasingly diverse pool of talent
- Different backgrounds…
- Different points of view…
- Different perspectives on life - all drive competitiveness

Identifying Your Biases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TRY A TEST
Project Implicit Social Cogn
HOME
ABOUT US
FOR ORGANIZATIONS
FOR RESEARCHERS
PRODUCTS AND SERVICES
CONTACT US
DONATE
PARTICIPATE
READ MORE
READ MORE

IMPLICIT SOCIAL COGNITION

Project Implicit investigates thoughts and feelings that are largely outside of active awareness or control. Visit the research or demonstration websites to try out some tests and learn more about the research and yourself!

FOR RESEARCHERS

Find out how to use Project Implicit infrastructure, consult with the team, or just find articles, measures, or data for your own research.

FOR ORGANIZATIONS

Find out how to apply Project Implicit research in your organization: Lectures, workshops, custom web modules, and consulting services.

https://projectimplicit.net

Talk to staff

- Simplest, most direct way to break down stereotypes
- Take the opportunity to talk to people
- Ask about their experiences
- Try to see things from their point of view
- Try not to make assumptions
- Apologise when you inevitably do!

Organisational fit?

- Hiring, training and rewarding people who ‘fit’
- We hire people are similar to us, have similar backgrounds, have the same ideas
- Monoculture – limited creativity and adaptability
- Social pressure on existing staff to conform
- You limit your hiring pool

Workplace legislation

The Employment Equality Acts 1998–2015

- Make it illegal to discriminate on the basis of:
- Race, gender, sexual orientation, religion
- Civil status, family status, disability
- Age, Traveller community membership
- **Manager’s passive acceptance = tacit approval**

Workplace legislation

Disability and 'reasonable accommodation'

"Reasonable accommodation' refers to modifications which would allow an employee with a disability to either continue or to take up a position to enjoy equal employment opportunities. It can include anything from the adaptation of the workplace and workplace equipment to changing working time and hours, restricting of tasks, retraining etc. When all the above accommodations are being considered to facilitate an employee's return to work it must be considered as to whether the provision of reasonable accommodation would impose a disproportionate burden to the company…"

(Caroline McEnery, The HR Suite)"

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QQI Supervisory Management

Employment Law

Damian McCourt

In this module

- Overview of Irish employment law
- Supervisor responsibilities
- Common issues

Irish Employment Legislation

- Employment Equality Acts 1998 – 2015
- The Safety, Health, & Welfare at Work Act 2005 – Module 17
- Disability Act 2005
- Unfair Dismissals Acts 1977
- Maternity Protection of Employment Act, 1994
- Minimum Notice and Terms of Employment 1973
- Organisation of Work Time Act 1989
- Parental Leave Act 1998 – 2019

Employment Equality Acts

- Make it illegal to discriminate in the workplace on the basis of:

Race, gender, sexual orientation, religion, civil status, family status, disability (including mental health), age or Traveler Community membership

- Lack of action = tacit approval

Disability Act 2005

- Reasonable Accommodation for staff with (or who acquire) disabilities
- Health and Safety and Employment Equality
- Range of grants and supports available – links in course manual
- Public Service quotas

Unfair Dismissals Act

- Not concerned with protection from being dismissed
- Recourse to question the fairness of your dismissal after it has occurred
- Where you terminate your employment due to the conduct of your employer (constructive dismissal)
- Trade union membership, political opinions, pregnancy, whistleblowing…

Maternity Protection of Employment Act

- Leave entitlements for pregnancy
- 26 weeks paid maternity leave
- 16 weeks additional unpaid leave
- Stillbirth, premature, adoption and miscarriage provisions
- Two weeks paternity leave

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Minimum Notice and Terms of Employment

- Notice when terminating employment
- Employer must give one to eight weeks notice, depending how long the employee has been in continuous employment
- Employees who have been in continuous employment for at least 13 weeks must give one week’s notice…
- …or greater if they have agreed via employment contract

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Organisation of Work Time Act

- Employee rights for working hours, holidays and rest breaks
- 48 hour week average maximum over 4 months
- 15 minute break per 4.5 hours worked, 30 minutes per 6 hours
- Exclusions and restrictions for some sectors, night work

Parental Leave Act

- 26 weeks of unpaid leave per child
- Up to the child’s 12th birthday
- Six weeks notice, rules around concurrency
- Often agreed as a way of working part time

Common Issues

- Do not take action on anything related to employment legislation yourself!
- Refer to your HR department or HR consultant
- You need to know which aspects of your supervisory role are affected by legislation to be able to do this

Common Issues

- Monitor your team for issues affected by legislation
- Employment equality acts – racism, gender issues, hiring bias
- Working time act – working hours, breaks, holidays
- Special leave types – parental, maternity etc.
- Health and safety legislation
- Constructive dismissal

Common Issues

- Be aware of anything specific to your industry within the legislation (truck drivers, child care…)

Talk to Human Resources first!

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QQI Supervisory Management

Industrial Relations

Damian McCourt

In this module

- Union membership
- The Workplace Relations Commission
- The Labour Court
- Supervisor responsibilities

Unions

- A group formed to protect the interests and rights of members in a particular industry
- Required to register (Trade Union Acts) and apply for a negotiating license
- Irish Congress of Trade Unions (ICTU) umbrella body – www.unionconnect.ie

trade union
Labor Union
union members
organized
benefits
income
hours
group
industry
unite
economic
pay
wages
justice
improvement
working conditions

Unions

- Right to freely join (or leave) a union is constitutionally protected
- Unfair Dismissals Act
- “Collective Bargaining” – Industrial Relations Act
- Facilities and time off for union duties for reps

Workplace Relations Commission

- Independent workplace relations body set up under the Workplace Relations Act 2015
- Promotes good workplace relations, public awareness of employment law, guidance on compliance, advice to employers and employees

Workplace Relations Commission

- Resolves disputes related to workplace legislation
- Conciliation service
- Mediation service
- Adjudication service
- Inspection service
- www.workplacerelations.ie

The Labour Court

- Appeal WRC adjudicator decisions
- 42 days to appeal
- 42 days for employer to implement LC decision
- Further appeal to High Court, but only on points of law
- Company image!

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Supervisor responsibilities

- Freedom to join or leave a union (peer pressure)
- Individuals can also make use of the WRC
- Internal dispute resolution > WRC > Labour Court
- Accommodating union duties
- People usually join unions in response to significant workplace issues

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QQI Supervisory Management

Standard Operating Procedures

Damian McCourt

In this module

- What are standard operating procedures? (SOPs)
- Benefits and requirements
- Training and performance measurement using SOPs
- Common problems with SOPs

How do I…

- Standard operating procedures are instructions for completing day-to-day tasks at work
- Module 10 – creating an effective SOP
- Why put effort into documenting every task your team does?

Organisational benefits

- Ensures everybody carries out a task the same way: standardisation
- Enables quality standards and measurement
- A well-written SOP reduces errors and subsequent problems
- Avoids problems when the organisation implements change

Supervisor and staff benefits

- Allows you to create training plans for a given role
- Allows you to provide feedback and manage performance
- Makes delegation and cross-training between roles much easier
- Avoids problems when staff leave

SOP-based training

- Having up to date SOPs allows a training manager to quickly build a training plan for new team members
- Induction training programmes are often based on SOPs for the role
- Can be used to identify dependencies and single points of failure in your team

SOP-based performance management

- SAID feedback – standard, action, impact, do
- This how it’s supposed to be done – the SOP
- This is how you’ve been doing it
- This is the adverse impact on the team/organisation
- We’re going to run through the SOP to make sure…

Common issues

- Vague or ambiguous instructions
- Not keeping the SOP up to date
- Online repository?
- Not providing everything necessary to complete the SOP
- Needlessly technical language or acronyms

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QQI Supervisory Management

Creating an effective SOP

Damian McCourt

In this module

- What’s in an SOP?
- Building an effective SOP
- Testing your SOP
- Novel SOP ideas

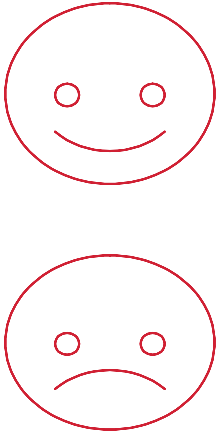
Considerations

- Standardised SOPs across the organisation
- Who creates them? (training and performance)
- Locally stored in your team or centrally managed?
- Paper-based on accessible online?
- Who can make changes to an SOP?

What’s in an SOP

- Descriptive title (easily found)
- Version history
- A summary of the SOP – what it does, what you need
- Step-by-step numbered instructions
- Diagrams or photos where useful
- A way for the reader to confirm success

Descriptive title



“How to set up a new customer in workflow”

“How to reset the fire suppression system”

“Workflow client input and validation procedures”

“Apex Fire Suppression System initialisation”

Version control

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

SOP Summary

- What this SOP enables you to do
- What you will need before you start
- How long it’s likely to take
- Where you can go for help
- Any health and safety or compliance concerns
- Sometimes - minimum level of expertise

SOP Summary

“This SOP will bring you through the steps required reset the fire suppression system”

You will need access to the Apex fire suppression system control console in Room 5B. Access to this area requires a maintenance key card, available from facilities department. You will also need to unlock the panel. The Health and Safety Officer and Building Manager hold keys.

This procedure must not be carried out during working hours.

“This process should only be undertaken by qualified engineers with current Apex training certificates. The process should take approximately 20 minutes”

Step-by-step instructions

- Numbered!
- Give clear, concise instructions (Plain English)
- Course manual example
- Try not to assume reader knowledge

Step-by-step instructions

“Shut down the machinery before cleaning”

“Pull the red level on the control panel located to the left side of the machine to shut it down…”

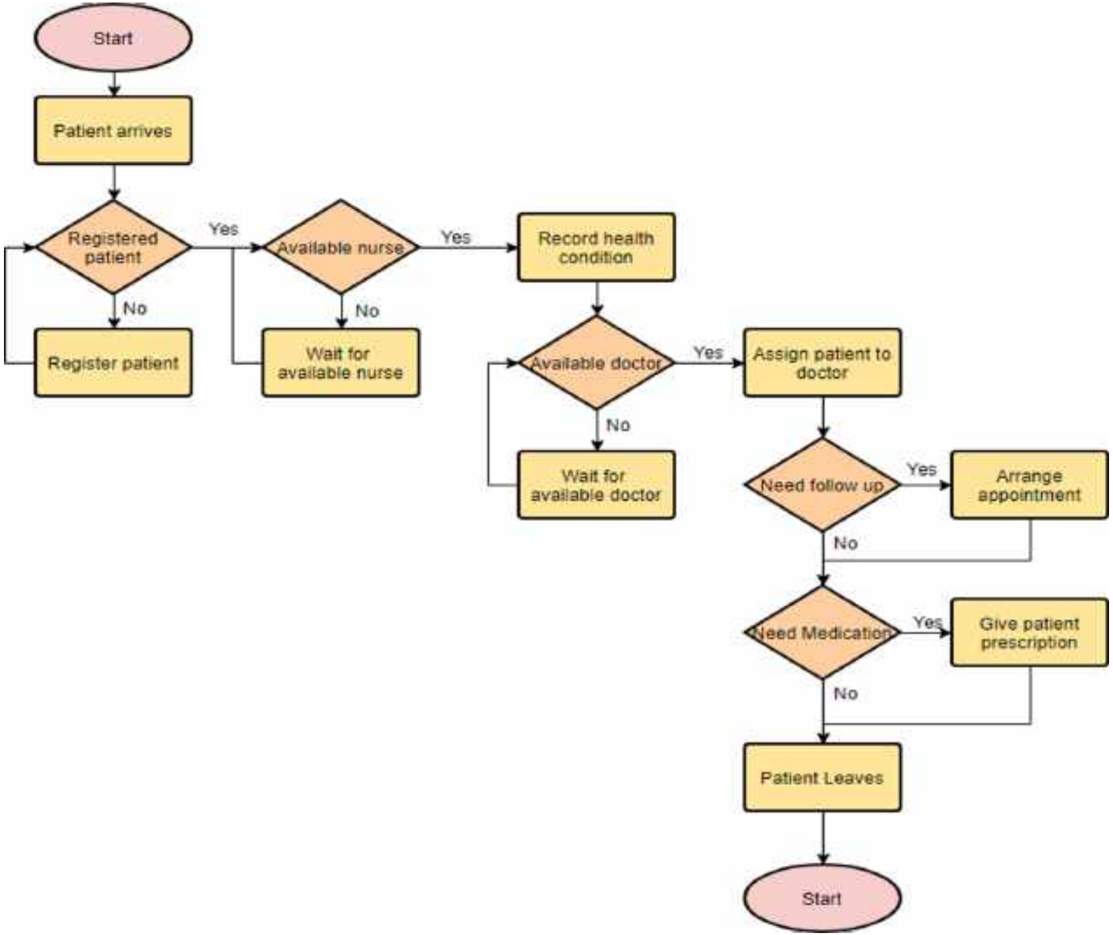
Confirm Success

- Letting the reader know if they’ve done it correctly
- Pictures, screenshots, illustrations

“When you have finished step 3, it should look like this:”

Non-linear SOPs

- What is the process is not as simple as steps 1…2…3?
- Workflows, flowcharts
- Common for more complex procedures in the workplace
- Each node in a flowchart often represents a step-by-step SOP



Start

Patient arrives

Registered patient

Yes

No

Register patient

Available nurse

Yes

No

Wait for available nurse

Record health condition

Available doctor

Yes

No

Wait for available doctor

Assign patient to doctor

Need follow up

Yes

Arrange appointment

No

Need Medication

Yes

Give patient prescription

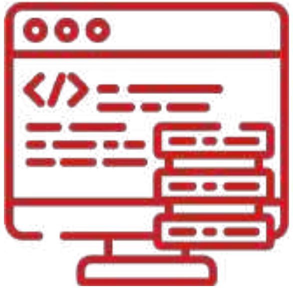
No

Patient Leaves

Start

Testing your SOP

- An SOP is like a piece of computer code
- Run it and see if it gets stuck…
- Using your target audience
- Confusion? - ambiguous instructions
- Blocked? – tools, access, passwords



Giving instructions

- ‘Imperatives’ – instructions in English
- Verb first!

“Log onto workflow”

“Tighten all four restraining bolts securely”

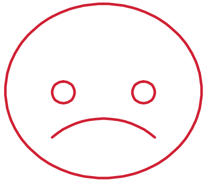
“Do not hit cancel during the process”

Giving instructions

“Workflow should be logged onto first”

“All four restraining bolts should be securely tightened”

“The process should not be cancelled while it is ongoing”



Novel SOP ideas

- Is a written document the most effective way to bring someone through a process?
- Language issues – picture based
- Video library

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Organisational Record Keeping

Damian McCourt

In this module

- Organisational records
- Document control
- Records management

Organisational Records?

A permanent record of:

- Work done, decisions made, complaints
- Accidents, performance, training undertaken
- Customer details, sales, staff rosters
- Roles, tasks, leave and illness, payments
- Invoices, audits …

Organisational Records?

“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 Regulations) 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.”

Supervisor

- Staff records
- Organisational records relating to your work area

Staff records

- Personal and contact information
- Leave and illness
- Performance
- Training and development

Organisational records

- Productivity records, transaction details
- Departmental costs
- Health and safety
- Customer records
- Compliance records relevant to your area

Document control

- System for controlling access and updates to documents
- SOPs – version control
- *"DCM Learning - Emergency Response SOP - Rev002"*

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

Document control

- How do you control updates to documents?
- Multiple copies of documents
- Unauthorised or incorrect updates
- Staff using outdated documents without realising
- Exposure of confidential or sensitive information

Document control Register

- System for managing access, updates and versions
- Historically paper based – cabinet and ledger
- DMS – document management system

Document control Register

- SOPs
- Company policies
- Safety statements
- Risk assessments
- Document templates

Records Management

> “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

Records Management

- More efficient workplaces
- Consistently applied policies and procedures
- Economy – duplicated work
- Continuity – staff turnover
- Legal protection

Legal protection?

- Health and safety – accident and incident reports
- Employment law – leave, breaks, hours worked
- Industry specific – food hygiene, financial compliance
- Data protection – data management and security

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QQI Supervisory Management

GDPR and Organisational Records

Damian McCourt

In this module

- GDPR overview
- Staff GDPR responsibilities
- Staff records and GDPR
- Common issues and pitfalls

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GDPR Overview

- How organisations treat personal data
- Gathering, usage, sharing, retention
- “appropriate technical and organisational measures”
- Significant fines for breaching regulations

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Staff responsibilities

- All staff should receive GDPR training
- Requests for personal data – one month
- Sharing data with third-parties
- Collecting non-essential personal data
- ‘Disclosing’ personal data – internal and external

Staff records

- Personnel records are personal data!
- Right of access to their personnel file
- Right to know why data is collected and what it will be used for
- Cannot have these rights restricted by contract

Staff records

- All personnel file contents signed by HR, staff member and supervisor
- DMS – document management system controlled

Common pitfalls

- Staff personal data in emails
- Misusing personal data – union membership
- Disclosing personal data for past employees to potential employers
- Discussing performance data with other staff

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QQI Supervisory Management

The Recruitment Process

Damian McCourt

In this module

- The supervisor and recruitment
- Team dynamics
- Role requirements
- Interviewing

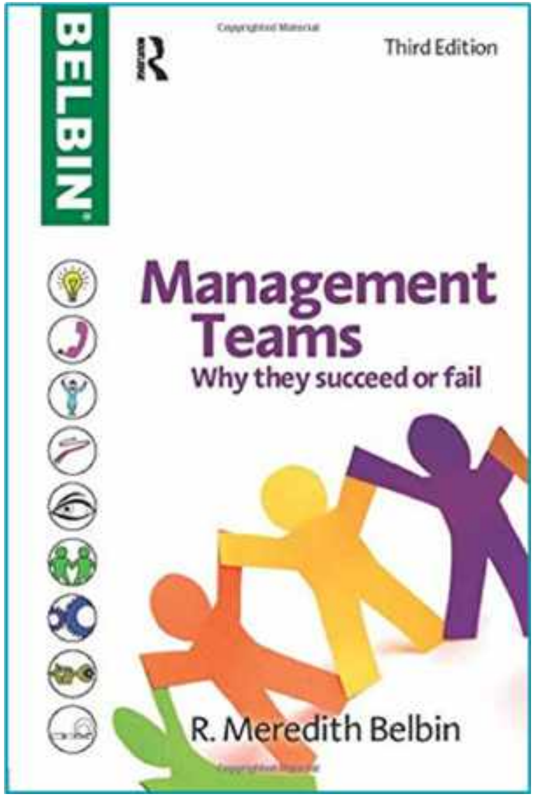
Supervisor

- Usually not directly responsible for recruitment
- You do identify skills gaps and expertise requirements for your team
- The type of person best suited to the role

Team personalities

- Diversity – Module 6
- Tendency to hire people ‘like us’
- ‘Fit’ is important – team works well together
- But a range of skills and attitudes is vital

Team personalities



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Third Edition

Management Teams

Why they succeed or fail

R. Meredith Belbin

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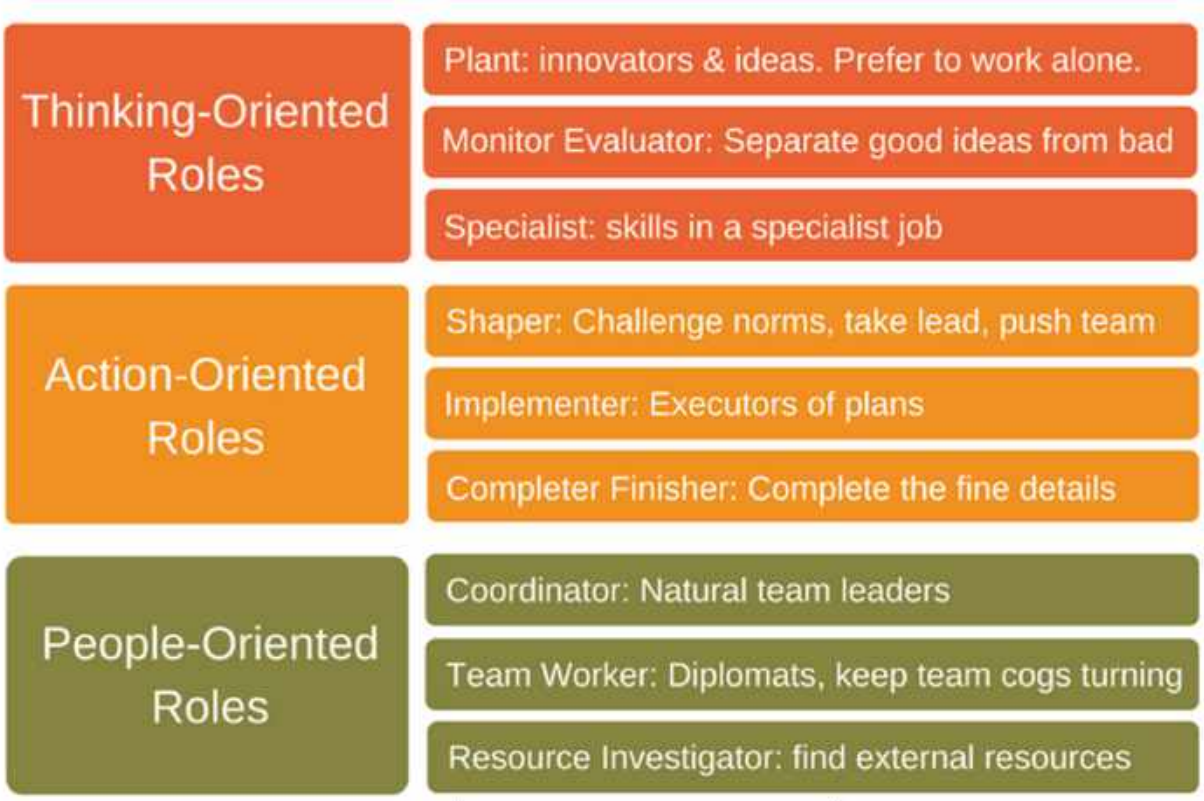
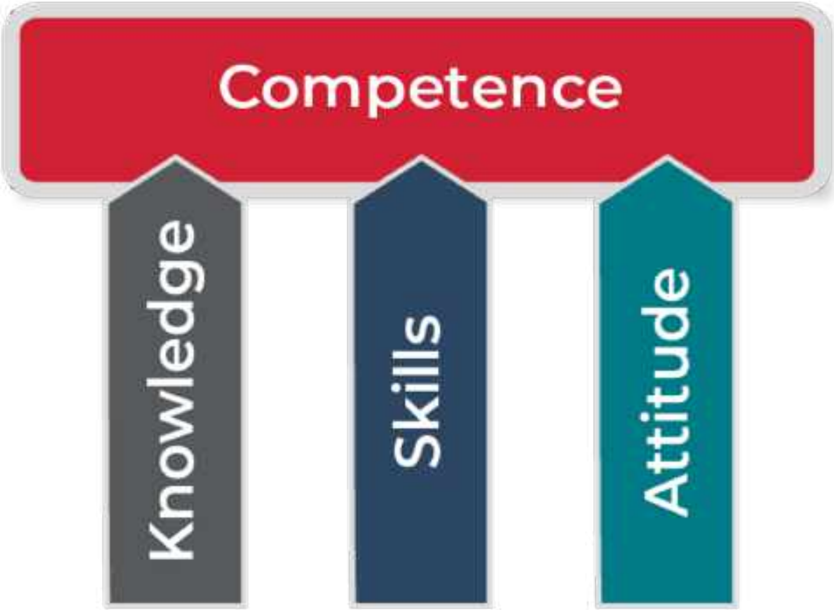
Team personalities



Thinking-Oriented Roles	Plant: innovators & ideas. Prefer to work alone.
	Monitor Evaluator: Separate good ideas from bad
	Specialist: skills in a specialist job
Action-Oriented Roles	Shaper: Challenge norms, take lead, push team
	Implementer: Executors of plans
	Completer Finisher: Complete the fine details
People-Oriented Roles	Coordinator: Natural team leaders
	Team Worker: Diplomats, keep team cogs turning
	Resource Investigator: find external resources

Defining a team role



Competence

Knowledge

Skills

Attitude

Knowledge

- Facts, procedures
- Things I need to know to do my job
- Food science, Irish law, HR procedures
- How to sign in and out of the flexitime system
- The steps for setting up a new customer

Skill

- Skills are behaviours that improve with practice
- Driving, phone sales, glass-blowing
- How quickly and efficiently tasks are completed
- Will always be slow at first
- Becomes quicker and more efficient with practice

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Attitude

- How we communicate with others
- How we view and approach challenges
- How proactive we are
- How we adapt to change
- How we respond to feedback
- How we deal with responsibility

KSA Role Analysis

Knowledge	Skill	Attitude
Sales techniques	Complaints handling	Work well with others
Customer tracking system knowledge	Clear, concise communication	Friendly and polite
Phone system operation	Time management	Adaptable and flexible
Timekeeping system operation	Resilience	Patient and understanding

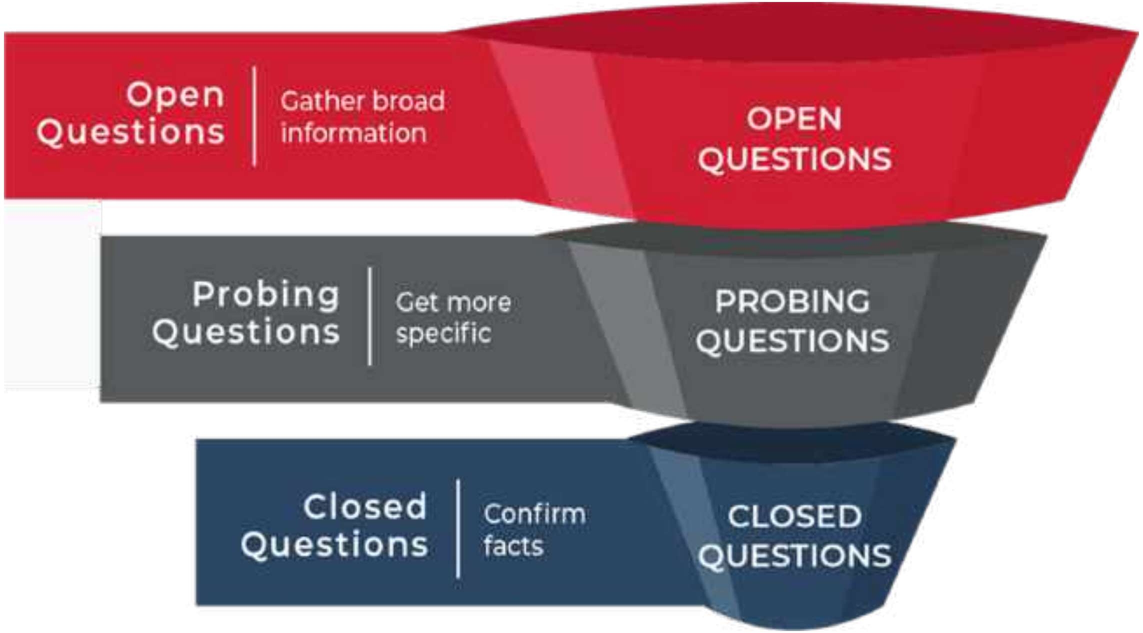
KSA Role Analysis

- Often completed with HR and Training Dept.
- HR has a template for your team’s requirements
- You know which personality elements are important, instead of defaulting to ‘like me’
- You have the beginning of training requirements!
  – Module 14

Interviews

- Interviewing? – get trained!
- Questioning styles – Module 5
- Closed questions – ‘yes’ or ‘no’ required
- Open questions – require a descriptive anwer
- Funnelling questions – common interview method

Funnelling



Open Questions | Gather broad information

OPEN QUESTIONS

Probing Questions | Get more specific

PROBING QUESTIONS

Closed Questions | Confirm facts

CLOSED QUESTIONS

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QQI Supervisory Management

Staff Training

Damian McCourt

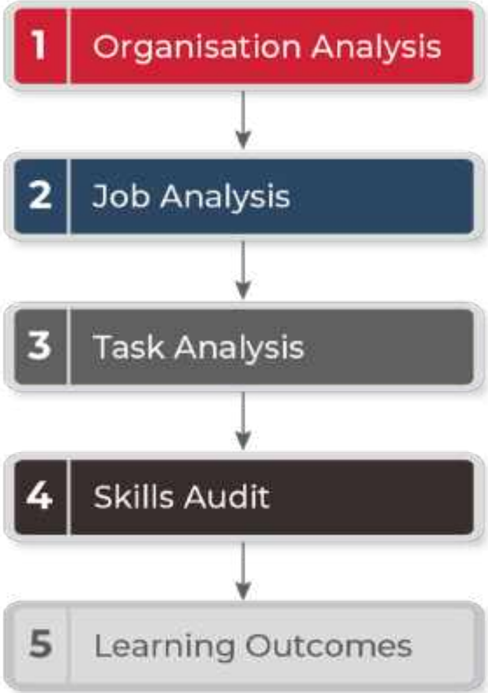
In this module

- Training and development
- Identifying training needs
- Training models
- Coaching

Training and Development

- Training: knowledge, skills and attitudes to do better in my current role
- Development: teach me to do new things!
- Development is **the** main motivator in the workplace
- Supervisor is focused on training

Identifying training needs


1 Organisation Analysis
2 Job Analysis
3 Task Analysis
4 Skills Audit
5 Learning Outcomes

- Identifying training needs is an organisational task!

Identifying training needs

- Organisational analysis – what roles does the organisation need?
- Role analysis – what does each role involve?
- Task analysis – what specific tasks make up each role?

Identifying training needs

- Tasks – standard operating procedures!
- SOPs form a roadmap for task training
- Role? KSA analysis

KSA Role Analysis

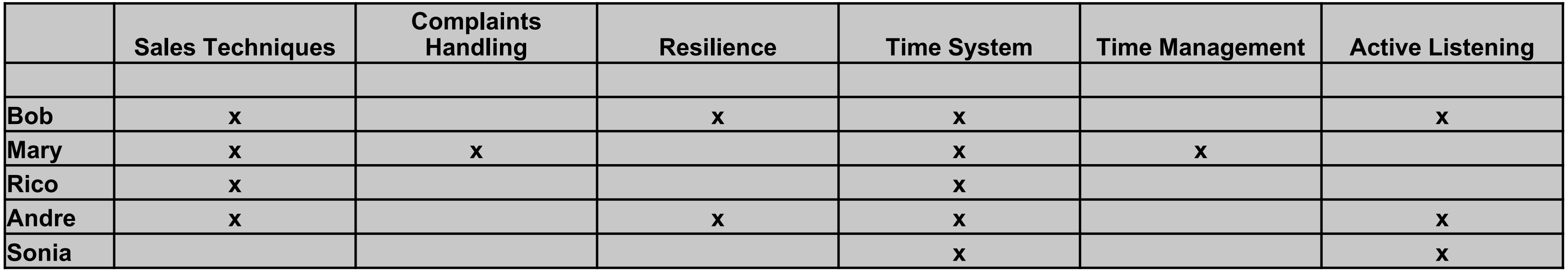
- Phone sales role:

Knowledge	Skill	Attitude
Sales techniques	Complaints handling	Work well with others
Customer tracking system knowledge	Clear, concise communication	Friendly and polite
Phone system operation	Time management	Adaptable and flexible
Timekeeping system operation	Resilience	Patient and understanding

KSA skills audit

Bob Ryan					
Knowledge		**Skill**		**Attitude**	
Sales techniques	x	Complaints handling		Work well with others	
Customer tracking system	x	Concise communication	x	Friendly and polite	x
Phone system operation	x	Time management	x	Adaptable and flexible	x
Timekeeping system operation	x	Resilience		Patient and understanding	

Training Requirements



	Sales Techniques	Complaints Handling	Resilience	Time System	Time Management	Active Listening
Bob	x		x	x		x
Mary	x	x		x	x	
Rico	x			x		
Andre	x		x	x		x
Sonia				x		x

Training Requirements

- Level of expertise required

Remember

Understand

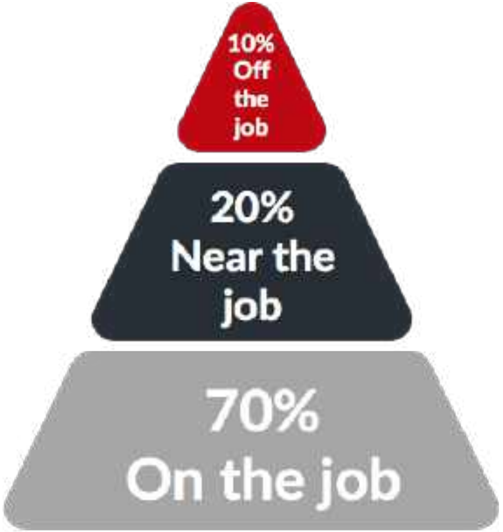
Apply

Evaluate

Create

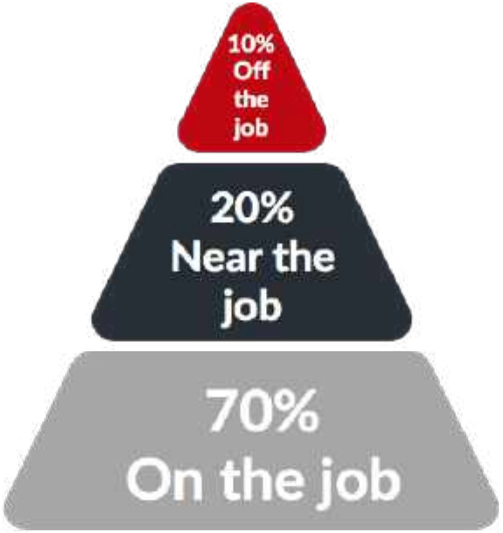
Training models

- 70:20:10 model
- 70% of training on the job
- 20% of training as informal instruction
- 10% formal training or education


10%
Off
the
job
20%
Near the
job
70%
On the job

Training models

- Does not mean that it's ok to only have on the job training…
- Or that on the job training is the most important
- Just outlines the ideal ratios



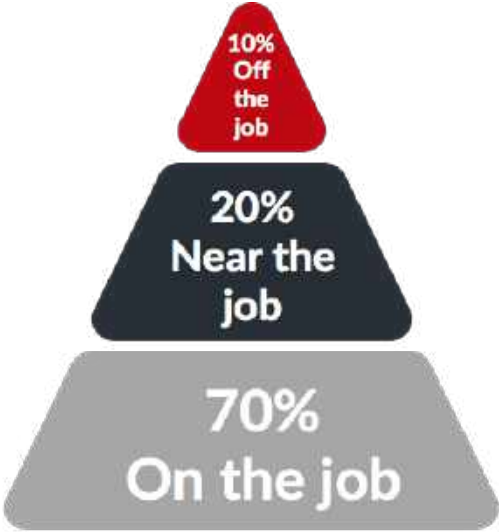
10% Off the job

20% Near the job

70% On the job

Training models

- Six-month induction period
- 84 days on-the-job experience
- 24 days informal training
- 12 days of formal training
- 70:20:10 not applicable to all roles



10% Off the job

20% Near the job

70% On the job

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Coaching

- One-to-one instruction
- Often seen as a development activity
- A lot of the 20% informal training will be one-to-one with the supervisor
- Plan your time or delegate using KSA

Coaching

- Don’t neglect your own coaching opportunities!
- Peer supervisors
- Senior managers who previously performed your role

Training plans

- Individual, personalised training plans
- Derived from KSA audit, role and task analysis
- Staff input too!
- Forms part of staff appraisal process - next

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QQI Supervisory Management

Staff Appraisals

Damian McCourt

In this module

- Measuring staff performance
- Planning the appraisal process
- Setting SMART goals
- Providing feedback

Appraisal?

- Regular meeting between supervisor and direct report
- Evidence of performance compared to agreed targets
- Reflection and feedback on previous period
- Goal setting for upcoming period
- Performance Improvement Plan if measured performance is significantly below standard

Behaviours

- Feedback on observed behaviours:

“Everyone says you spend all your time on your phone”

“I have noticed you on the phone 17 times during working hours this week”

Behaviours

- Always focus on behaviours, not personality
- Instances of behaviour can be measured, changes in behaviour can be noted

  "You have a bad attitude" is a personality judgment

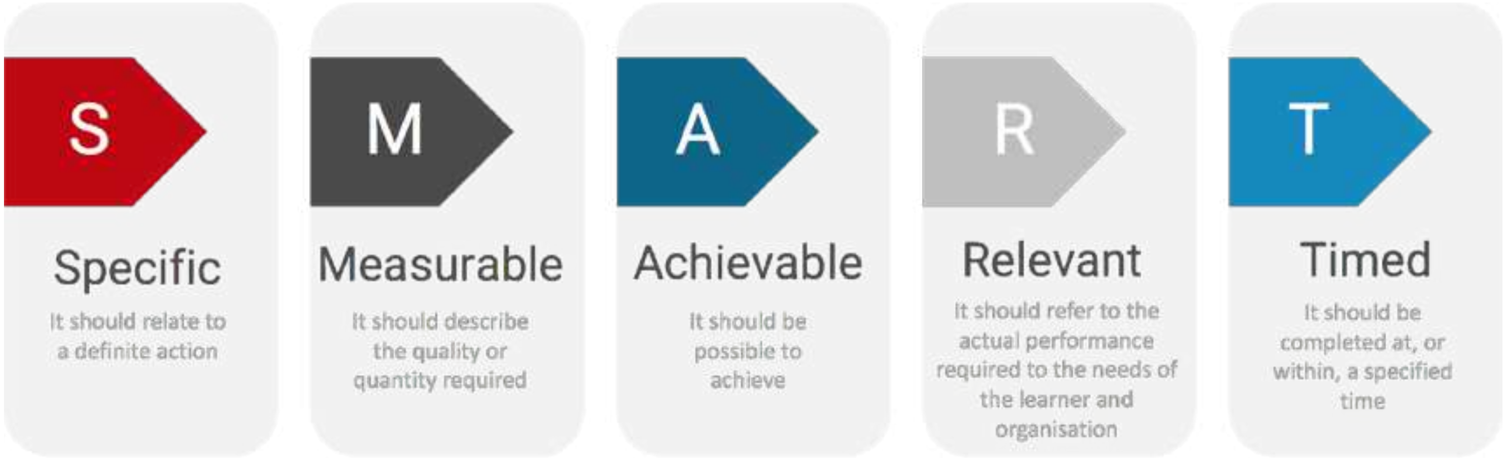
  "I've noticed you being very abrupt with customers"

Measurement

- Accurate measurement of behaviours and performance is vital
- SOPs or agreed targets used as standard…
- Not comparison to other staff members!

Measurement

- SMART Goals and Targets



S **Specific**
It should relate to a definite action

M **Measurable**
It should describe the quality or quantity required

A **Achievable**
It should be possible to achieve

R **Relevant**
It should refer to the actual performance required to the needs of the learner and organisation

T **Timed**
It should be completed at, or within, a specified time

SMART

- Staff member knows exactly what has to be done
- They know how success will be measured
- Both supervisor and staff member have agreed the target is realistically achievable
- The target goal is relevant to the role
- A clearly defined timeframe for achieving the target is set

SMART

- Be at your station ready to work by 8:30 every morning
- We'll use your machine log-in to keep track of this
- This is the standard start time and there are no mitigating circumstances preventing you from adhering to it
- It's important to be ready to go when production starts
- We'll revisit this goal after four weeks

Compliance

- Important consideration for performance appraisals
- Health and safety adherence
- Industry regulations or standards
- PPE (personal protective equipment) use
- Integrated in SOPs or tracked separately
- Apply SMART goals regardless!

Appraisal planning

- Am I focusing on observed behaviours?
- Do I have measured evidence of behaviours?
- Do I have SMART targets and goals ready?
- Give prior notice to staff, time to prepare
- How frequent will staff appraisals be?

Feedback

• **SAID**	Feedback on work practices
• **Standard**	This is what should happen (SOP)
• **Action**	This was your observed behaviour
• **Impact**	This was the impact on the team/organisation
• **Do**	What will **we** do to stop it happening again?

Feedback

Every pallet must be checked for damage before being loaded, per the SOP

Over the last three weeks I’ve noticed that you only check the first few pallets in each consignment

The company could very easily lose their entire contract if this important client receives damaged goods

Let’s figure out what we need to do to make sure this doesn’t happen

Feedback

- Us, Us, Us
- Feedback on interpersonal behaviours
- This is a problem for the team because…
- This is the effect it has on us…
- This is how it makes us feel

Feedback

When you leave work early, the rest of the team are put under pressure to cope with incoming calls

This means that customers are on hold longer and a backlog of work builds up each evening

Staff who do stay until 5:30 are put under pressure and feel stressed and frustrated

Staff Appraisals

- Can also include staff development
- Performance Development Plan
- What if feedback isn't acted on?
- Performance Improvement Plan

FAIR
NEEDS IMPROVEMENT
MEETS EXPECTATIONS
POOR
EXCELLENT
SATISFACTORY
EXCEEDS EXPECTATI

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Performance Improvement and Development Plans

Damian McCourt

In this module

- Dealing with continued underperformance
- Performance Improvement Plans – PIP
- Developing your staff
- Performance Development Plans - PDP

Appraisals

- Set SMART goals to achieve measurable targets
- Provide feedback for standards and behaviours
- What if the goals aren’t met?
- Behaviours don’t change?
- There are no mitigating organisational circumstances?

Performance Improvement Plan

- Formal process to bring performance up to minimum standards
- Before resorting to disciplinary measures
- Should only be implemented after the standard appraisal and goal-setting process has failed
- Should not be due to a training deficit – KSA audit

Performance Improvement Plan

- Clearly explain to the employee that their performance is not up to the required standard
- Using observed behaviours or operational measurements
- Agree SMART goals and targets with the staff member
- Explain the PIP *process* clearly

PIP Process?

- Standard process across the organisation – HR managed
- Timeframe over which improvement is expected
- Reasonable timeframes and improvement measures!
- Review schedule and communications plans
- Access to closer supervision if required/requested
- Next steps if performance improvements aren’t achieved

PIP Pitfalls

- “This was just and excuse to fire me!”
- Record keeping is paramount
- Records of poor performance over a period of time
- Records of previous feedback and goal-setting
- SMART targets for the PIP process
- Training records

Staff development

- Enable me to do new things!
- Supervisor typically focuses on training, but…
- Increasing competence across your team makes it less brittle
- Easier to roster for illness and leave
- Easier for your to focus on supervisory duties

Performance Development Plan

- Not focused on current performance levels
- But on gaps in the department KSA Role Analysis…
- And requests from staff
- Attitude analysis to identify likely candidates
- Sometimes boredom is mistaken for disengagement

Performance Development Plan

- Use 70:20:10 to develop a comprehensive plan
- On the job: buddying, shadowing, job rotation
- Near the job: informal coaching and training sessions
- Off the job: training courses to be attended
- SMART goals for each element
- Liaise with your training manager or L&D team

Successor development

- Someone who can carry out 80% of your role
- Excluding the confidential staff elements
- Supervisor isn’t a weak link – leave, illness
- Someone can take over easily when you move

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QQI Supervisory Management

Workplace Health And Safety

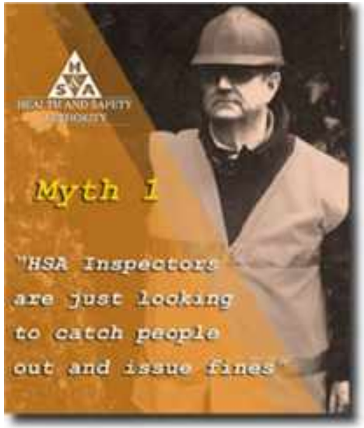
Damian McCourt

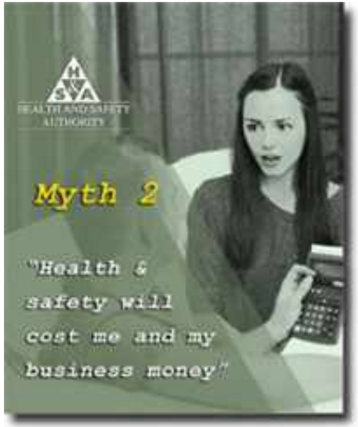
In this module

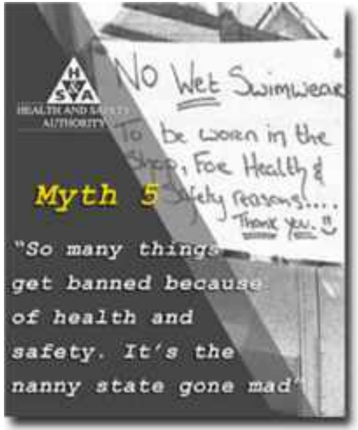
- The Health, Safety and Welfare at Work Act 2005
- Employer obligations
- Employee obligations and rights
- Accidents and other issues
- Inspection and enforcement

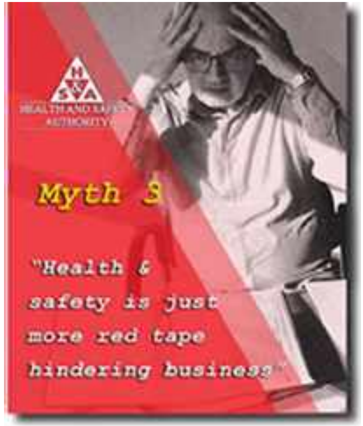
The Health and Safety Authority

- www.hsa.ie


HEALTH AND SAFETY AUTHORITY
Myth 1
"HSA Inspectors are just looking to catch people out and issue fines"


HEALTH AND SAFETY AUTHORITY
Myth 2
"Health & safety will cost me and my business money"


HEALTH AND SAFETY AUTHORITY
No Wet Swimwear To be worn in the Shop, For Health & Safety Reasons.... Thank you.
Myth 5
"So many things get banned because of health and safety. It's the nanny state gone mad"


HEALTH AND SAFETY AUTHORITY
Myth 3
"Health & safety is just more red tape hindering business"

Employer Obligations

- Managing and conducting all work activities so as to ensure, as far as reasonably practicable, the safety, health and welfare of people at work
- Designing, providing and maintaining a safe place of work that has safe access and egress, and uses plant and equipment that is safe and without risk to health
- Providing information, instruction, training and supervision regarding safety and health

Employer Obligations

- Provide appropriate personal protective equipment
- Providing and maintaining welfare facilities for employees at the workplace
- Preventing risks to other people at the place of work including, for example, visitors
- Have plans in place for emergencies

Employee obligations and rights

- Comply with relevant laws and protect their own safety and health, as well as the safety and health of anyone who may be affected by their acts or omissions at work
- Ensure that they are not under the influence of any intoxicant to the extent that they could be a danger to themselves or others while at work
- Cooperate with their employer with regard to safety, health and welfare at work

Employee obligations and rights

- Use in the correct manner any item provided for protection
- Participate in safety and health training offered by their employer
- Report any dangerous situations, practices or defects that might endanger a person's safety
- Not to engage in any improper conduct that could endanger theirs or other's health and safety

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Accidents

- Accidents must be reported to the HSA

  "an unplanned event resulting in death, or resulting in an injury such as a severe sprain or strain (for example, manual handling injuries), a laceration, a broken bone, concussion or unconsciousness."

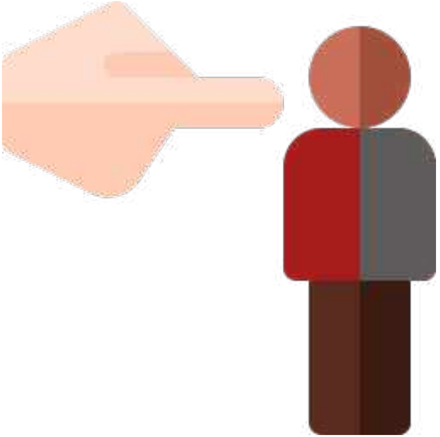
- Resulting in death or 3 consecutive days unable to perform their normal work
- Similar injuries or fatalities for members of the public in your workplace
- "Dangerous occurrences" even where they do not cause death or injury

Dangerous Occurrences

- Collapse or overturning of vehicles or lifting machinery
- Load-shift or load loss from any vehicle
- Explosion or bursting of any pressure vessel
- Any explosion or incident involving overhead power lines
- Any fire that results in 24 hours or more interruption to work
- Collapse of scaffolding, building or structure
- Escape of hazardous or flammable chemicals likely to cause injury
- Incidents when moving freight containers

Other health and safeth issues

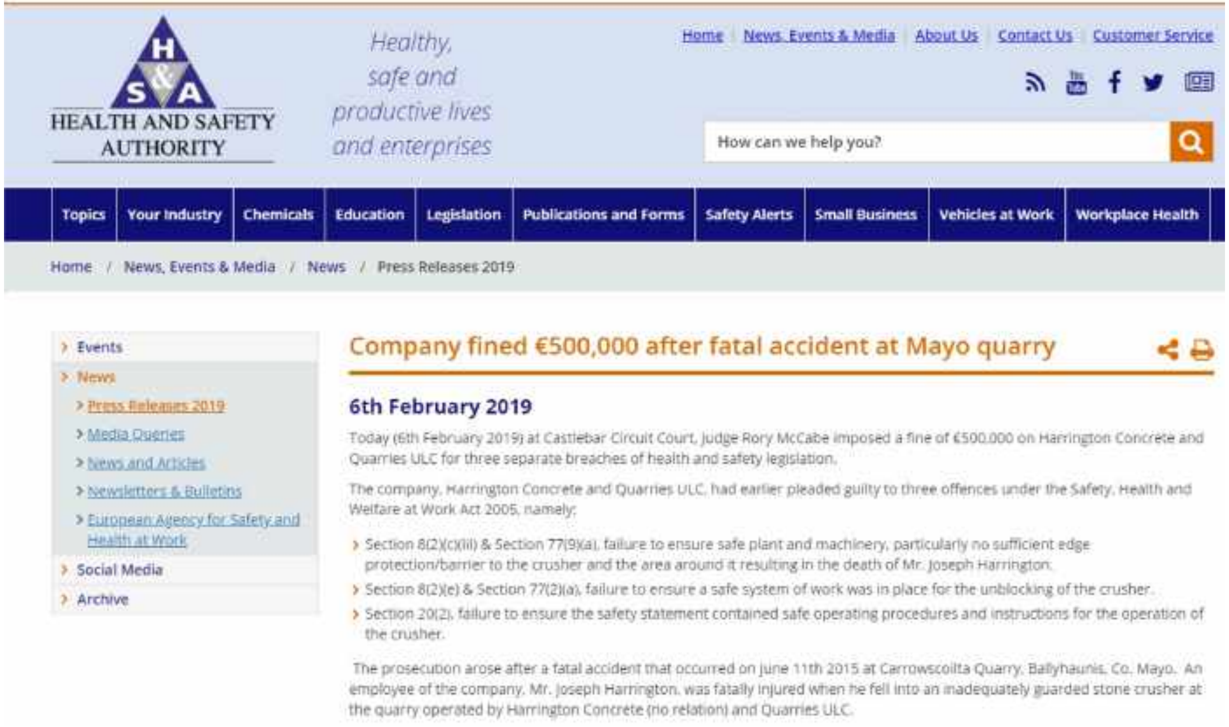
- Mental health
- Bullying
- Convalescence



Inspection and enforcement

- HSA inspections – particularly following an accident
- Generally provide guidance on preventing another accident
- Do you have a system for managing safety?
- Where’s your safety statement?
- Do you record all workplace accidents?
- Did you do anything to stop them happening again?

Inspection and enforcement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Company fined €500,000 after fatal accident at Mayo quarry

6th February 2019

Today (6th February 2019) at Castlebar Circuit Court, Judge Rory McCabe imposed a fine of €500,000 on Harrington Concrete and Quarries ULC for three separate breaches of health and safety legislation.

The company, Harrington Concrete and Quarries ULC, had earlier pleaded guilty to three offences under the Safety, Health and Welfare at Work Act 2005, namely:

- Section 8(2)(c)(iii) & Section 77(9)(a), failure to ensure safe plant and machinery, particularly no sufficient edge protection/barrier to the crusher and the area around it resulting in the death of Mr. Joseph Harrington:
- Section 8(2)(e) & Section 77(2)(a), failure to ensure a safe system of work was in place for the unblocking of the crusher.
- Section 20(2), failure to ensure the safety statement contained safe operating procedures and instructions for the operation of the crusher.

The prosecution arose after a fatal accident that occurred on June 11th 2015 at Carrowscoilta Quarry, Ballyhaunis, Co. Mayo. An employee of the company, Mr. Joseph Harrington, was fatally injured when he fell into an inadequately guarded stone crusher at the quarry operated by Harrington Concrete (no relation) and Quarries ULC.

Supervisor duties

- Does your organisation have a safety officer?
- This does not mean you have no responsibilities!
- Health and safety training – supervisor and staff
- Recording of accidents and incidents
- Training and ensuring compliance
- Identifying and assessing workplace risks

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Assessing Risk In the Workplace

Damian McCourt

In this module

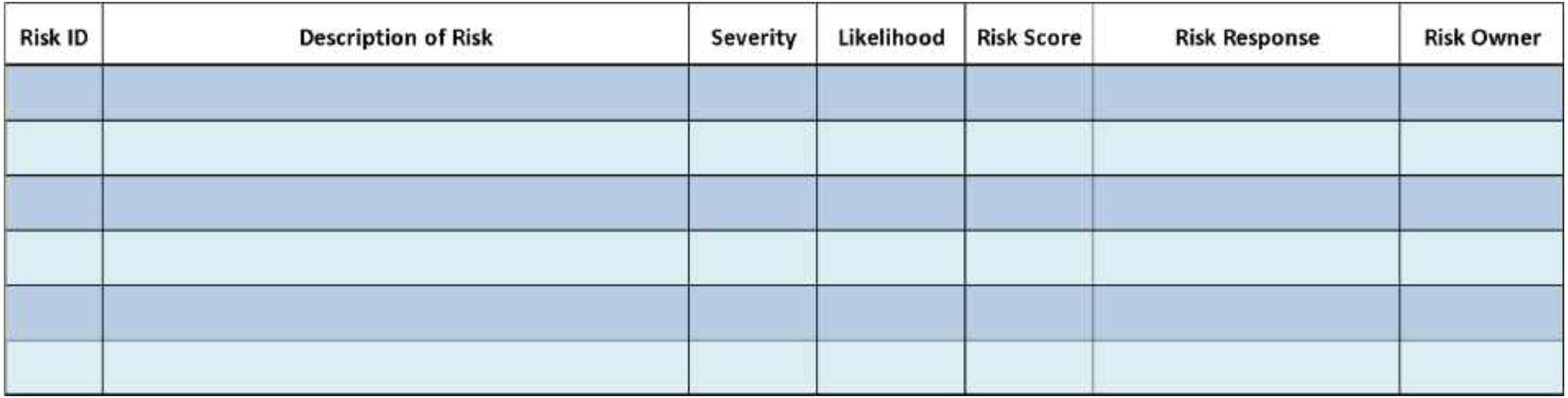
- Risk responsibilities
- Common workplace risks
- Identifying risks
- Assessing and responding to risks
- Awareness and compliance training

Risk Responsibilities

- Who manages safety risks in your workplace?
- Safety officer, safety committee?
- Staff safety representatives?
- Supervisors / managers?
- Is there an accident risk register, who maintains it?
- Organisational risk register – risks to the organisation

Risk register

- A list of all identified accident risks in a workplace



Risk ID	Description of Risk	Severity	Likelihood	Risk Score	Risk Response	Risk Owner

Identifying risks

- Meetings, technical experts, brainstorming exercises
- Inspections and audits – HSA, insurance company
- Compliance bodies for your industry
- Industry knowledge
- Risks specific to your supervisory area

Identifying risks

- Trips and slips
- Falls from height
- Material falls from height
- Load handling
- Moving machinery/vehicles
- Customer interaction

- Compressed air
- Chemicals / fumes
- Noise & light levels
- Confined spaces
- Electrical hazards
- Untrained workers
- …

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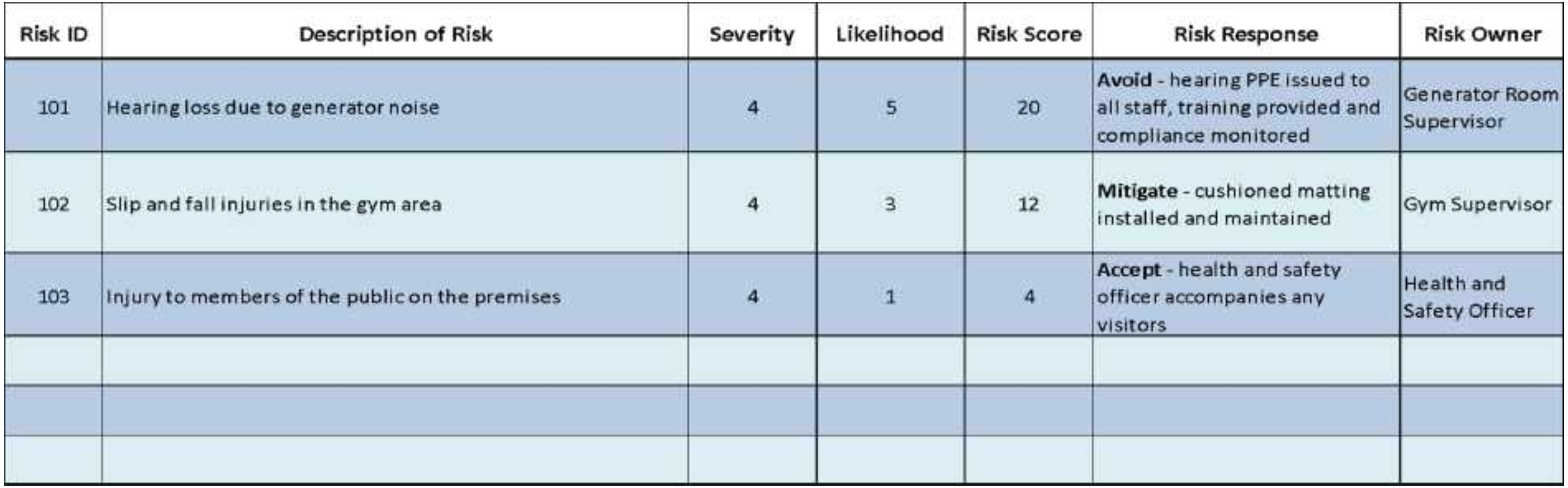
Assessing risks

- Work out how likely the risk is to occur (0 to 5)
- Work out how severe the impact will be (0 to 5)
- Multiply the two figures for an overall risk score, 0 to 25
- Decide how to respond to the risk based on the score

Assessing risks



Risk ID	Description of Risk	Severity	Likelihood	Risk Score	Risk Response	Risk Owner
101	Hearing loss due to generator noise	4	5	20	**Avoid** - hearing PPE issued to all staff, training provided and compliance monitored	Generator Room Supervisor
102	Slip and fall injuries in the gym area	4	3	12	**Mitigate** - cushioned matting installed and maintained	Gym Supervisor
103	Injury to members of the public on the premises	4	1	4	**Accept** - health and safety officer accompanies any visitors	Health and Safety Officer

Risk Response?

- Avoid: try to eliminate the possibility of the risk occurring, or eliminate the impact
- Mitigate: try to lower the impact when the risk does occur
- Accept: record the risk, but accept it where the risk score is low (or you have no choice but to accept the risk)

Supervisor duties

- Safety measures often seen as productivity blockers
- Incentives for risk identification
- Performance management for safety compliance
- Training: awareness, identification, reporting, PPE
- Short reminder sessions, signage
- Lean 5S

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Insurance Requirements

Damian McCourt

In this module

- Common insurance types
- Supervisor responsibilities
- Common issues

Employers Liability

- Injury to your employees in the course of their work
- Compulsory! Average claim cost € 52,000
- €13,000,000 standard level of cover
- Covers costs and legal expenses
- Health and safety, risk management very important

Employers Liability

- “Bodily injury including illness or disease”
- Injuries – slips, falls etc.
- Illness arising from health and safety issues at work
- Carcinogen exposure, noise induced hearing loss
- Some policies cover mental health injuries

Endorsements and Exclusions

- All policies contain standard exclusions
- Endorsements are extra restrictions added for certain industries or types or work
- Very important to be clear on what’s covered and what’s not

Public Liability

- Injury to members of the public
- Loss of or damage to their property
- Due to your work and arising from your negligence
- € 1,000,000 and up standard cover amount

Products Liability

- Injury to members of the public
- Loss of or damage to their property
- Due to defects in the products you produce
- **Or in the products you just sell!**
- € 1.3m and ‘claims made’ cover

Professional Indemnity

- Where you become legally liable to a member of the public
- Due to an error or omission in professional advice
- Sometimes included with public liability for small businesses
- Many industry specific schemes

Other types of business insurance

- Property damage
- Business interruption
- Commercial vehicle insurance

Supervisor responsibilities

- Accident reporting and recording
- Incident reporting and recording
- Risk identification and management in your area
- Employee risk reporting responsibilities
- Fraudulent claims

Common issues

- Inaccurate or incomplete proposal forms
- Displaying your employers liability certificate
- Insurance brokers and commission
- Engaging directly with claimants

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QQI Supervisory Management

Introduction to Departmental Budgets

Damian McCourt

In this module

- Departmental budgets
- Financial definitions
- Supervisor responsibilities

Budgeting

- How much money does the department need to operate for the coming year?
- Supervisor input usually required
- Heavily reliant on departmental record keeping
- Easy? Straightforward!

Budgeting

- Cost of routine, repeated work
- Fixed costs – the same regardless of how much work we do
- Variable costs – rise and fall with productivity
- Costs for any expansion/development of the department
- Contingency costs – money set aside for anything unexpected

Financial Definitions

Course manual: comprehensive list of organisational finance terms!

Investopedia.com

Financial Definitions

- Assets: anything the organisation owns that have monetary value
- Fixed assets: machinery, property, equipment, brand names and trademarks
- Current or variable assets: inventory, cash, debtors (people who owe us money)

Financial Definitions

- Balance sheet: assets vs. liabilities (debts)
- A snapshot of what the company owns and owes
- Bank debt, other financial obligations (tax etc.)
- Payables – wages, dividends to shareholders

Financial Definitions

- Profit and Loss Statement
- Yearly summary of:
- Revenue (money earned)
- Costs and expenses (money spent)
- Records income at the top, then deducts expenses
- “The bottom line” – profit (or loss!)

Financial Definitions

- Cash Flow Statement
- Summarises cash entering and leaving the company
- How effectively debtors and creditors are managed
- How much ‘liquid’ cash is available

Financial Definitions

- Depreciation
- Decrease in the value of fixed assets over time
- How much of an asset’s value has been used up
- Eight year depreciation cycle
- Most fixed asset depreciation deductible against tax

Financial Definitions

- Cost of Good Sold (COGS)
- Costs directly associated with producing a company's goods or services
- Direct labour, direct materials
- Overheads (general company operating costs) that can be tied to production
- Retailers and service providers: Cost of Sales

Supervisor responsibilities

- May have to report fixed assets for the department
- Productivity measurements feed into variable costs, COGS or Cost of Sales
- Report on disposal of fixed assets
- Can be directly involved with cash flow
- May be asked for input on forecasting development

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Creating a Departmental Budget

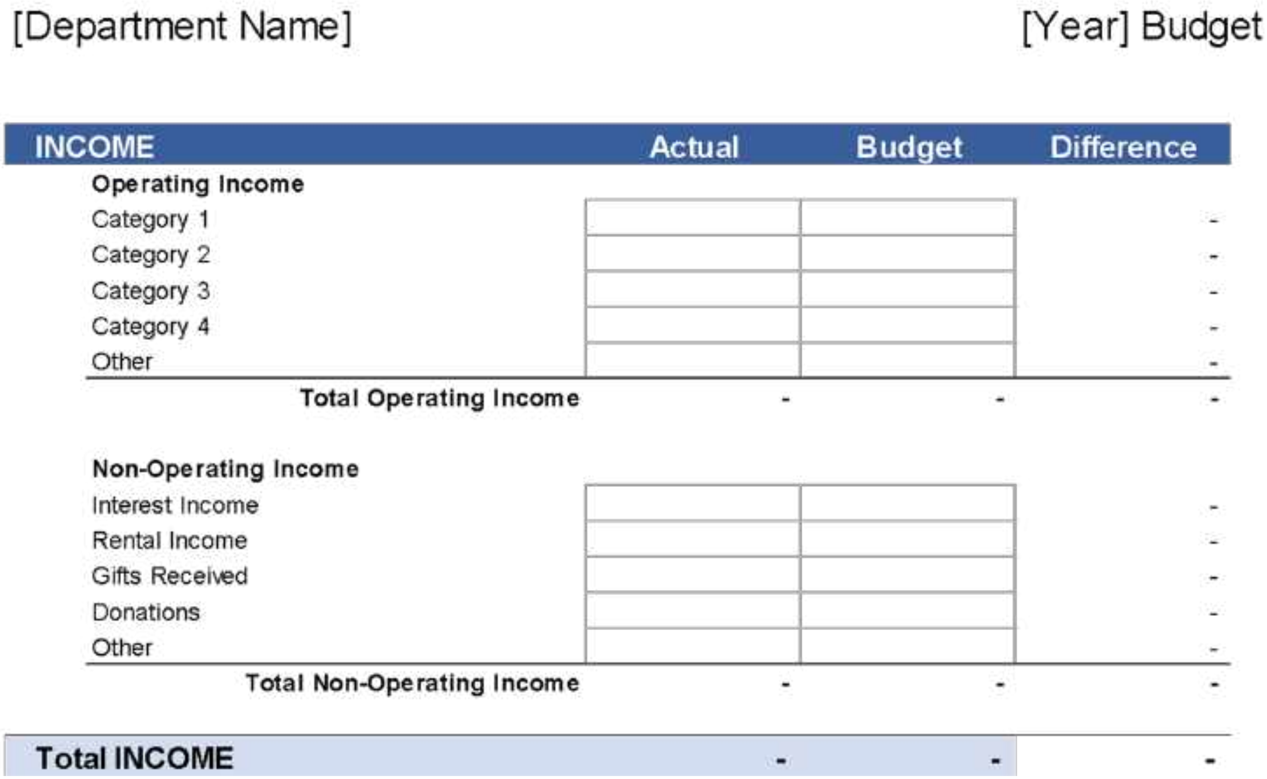
Damian McCourt

In this module

- What kind of departmental budget?
- Identifying expenses
- Planning for contingencies

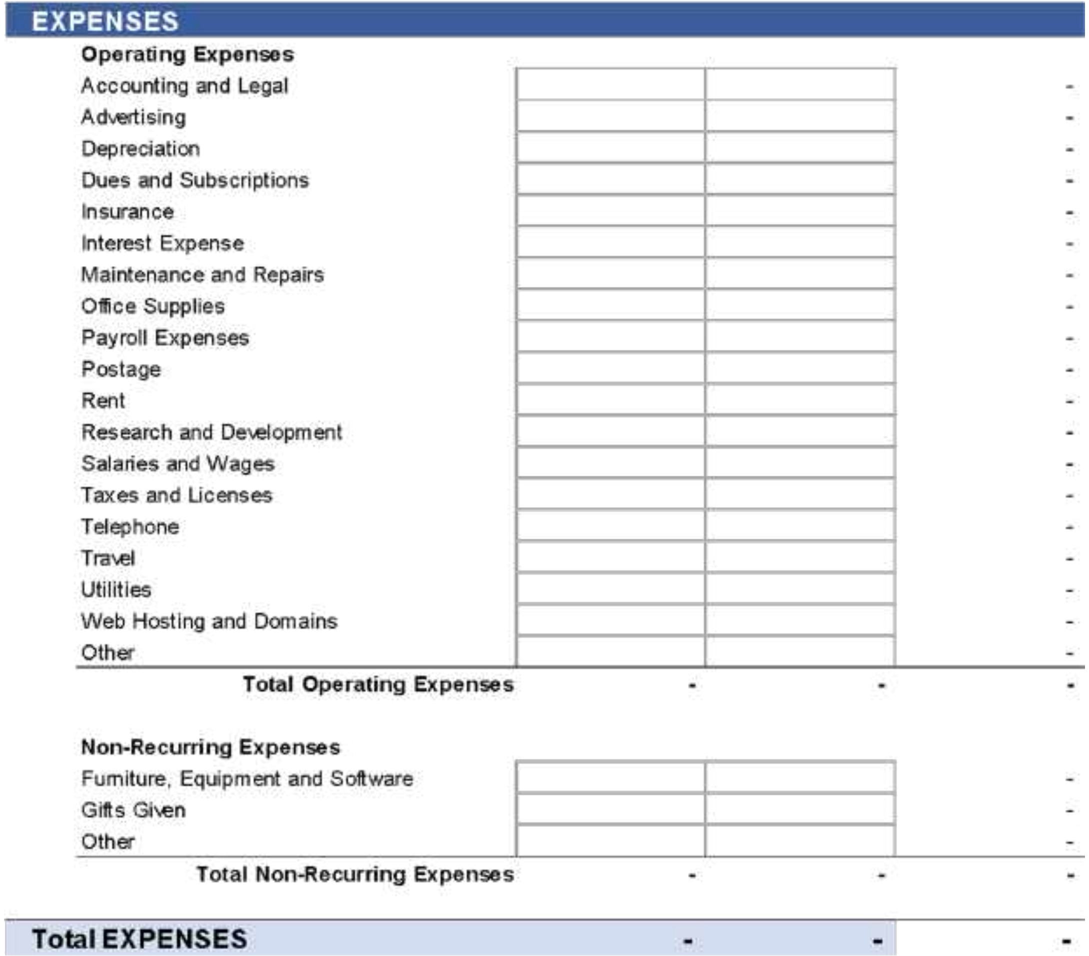
What kind of budget?

- List of estimated expenses for the department?
- Income vs. expenditure (a simplified P&L)
- Get access to the previous budget!
- Template allows for both



[Department Name] [Year] Budget

INCOME	Actual	Budget	Difference
Operating Income			
Category 1			-
Category 2			-
Category 3			-
Category 4			-
Other			-
Total Operating Income	-	-	-
Non-Operating Income			
Interest Income			-
Rental Income			-
Gifts Received			-
Donations			-
Other			-
Total Non-Operating Income	-	-	-
Total INCOME	-	-	-



EXPENSES

Operating Expenses			
Accounting and Legal			-
Advertising			-
Depreciation			-
Dues and Subscriptions			-
Insurance			-
Interest Expense			-
Maintenance and Repairs			-
Office Supplies			-
Payroll Expenses			-
Postage			-
Rent			-
Research and Development			-
Salaries and Wages			-
Taxes and Licenses			-
Telephone			-
Travel			-
Utilities			-
Web Hosting and Domains			-
Other			-
Total Operating Expenses	-	-	-
Non-Recurring Expenses			
Furniture, Equipment and Software			-
Gifts Given			-
Other			-
Total Non-Recurring Expenses	-	-	-
Total EXPENSES	-	-	-

Your budget

- Adapt the template to your workplace
- Adapt the operating and non-recurring expenses
- Some expenses may be allocated for you – electricity costs, insurance (company overheads)
- Or not included at department level

Identifying expenses

- Existing budget?
- People related expenses
- Materials expenses
- Operating expenses

People related

- Salaries and payroll costs
- Overtime
- Replacements for leave or illness
- Health insurance, employer’s liability
- Training and development
- Benefits and rewards

Materials expenses

- Raw materials
- Stock purchases
- Supplier related costs

Operating expenses

- Power and heating
- Voice and data
- Maintenance agreements
- Stationery and equipment
- Advertising, legal costs
- Property and damage insurance

Planning for contingencies

- Something unexpected happening
- Risk assessments!
- Setting aside a budget amount or percentage
- Can be general or for specific risks

Planning for contingencies

- Contingency brainstorming
- Machinery breakdown
- Supplier problems
- Cash flow issues
- Illness or absence
- Environmental effects
- ‘Macro’ effects: markets, exchange rates, economy

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