

MANAGER / SUPERVISOR

Procedures

Handbook

Management as a career path is not right for everyone. You have to like responsibility. You have to enjoy working with people. You have to be able to deal with uncertainty and making decisions when you never seem to have all the facts in time.

Management is both art and science. It is the art of making people more effective than they would have been without you. The science is in how you do that. There are four basic pillars: **plan, organize, direct, and monitor.**

When it all comes together; when all your people are pulling together toward the same goal and setting new records it can be a great feeling. When you see someone you trained go off on their own and become successful, you can take a certain amount of pride for having helped them get started. Management can be frustrating, and a lot of hard work, but for some, a rewarding career choice.

This booklet offers some basic information looking at management and supervision of staff; it provides some ideas on how to manage effectively and also outlines our companies required steps regarding the process of termination.

So, what is management? What do managers do? How does one manage?

Dale Carnegie once said that you'll have more fun and success by helping other people achieve their goals than you will by focusing on your own goals. The job of a manager is to actively help other people succeed. Focus on giving your people exciting, challenging assignments, and help them succeed at them, and they will want to stick around. People are careers, not jobs, and that means they want to learn and develop. Anything that gets in the way of this will be demotivating.

Here are four basic ingredients that assist in the management:

Plan

Management starts with planning. Good management starts with good planning. Without a plan you will never succeed. If you happen to make it to the goal, it may have been luck or chance and not repeatable. You may make it as an overnight sensation, but you will never have the track record of accomplishments of which success is made.

Figure out what your goal is (or listen when your boss tells you). Then figure out the best way to get there. What resources do you have? What can you get? Compare strengths and weaknesses of individuals and other resources. Look at all the probable

scenarios. Plan for them. Figure out the worst possible scenario and plan for that too. Evaluate your different plans and develop what, in your best judgment, will work the best and what you will do if it doesn't.

TIP: *One of the most often overlooked management planning tools is the most effective. Ask the people doing the work for their input.*

Organize

Now that you have a plan; you have to make it happen. Is everything ready ahead of your group so the right stuff will get to your group at the right time? Is your group prepared to do its part of the plan? Is the downstream organization ready for what your group will deliver and when it will arrive?

Are the workers trained? Are they motivated? Do they have the equipment they need?

Do the legwork to make sure everything needed to execute the plan is ready to go, or will be when it is needed. Check back to make sure that everyone understands their role and the importance of their role to the overall success.

Direct

Now flip the "ON" switch. Tell people what they need to do. Think of this part like conducting an orchestra. Everyone in the orchestra has the music in front of them. They know which section is playing which piece and when. They know when to come in, what to play, and when to stop again. The conductor cues each section to make the music happen. That's your job here. You've given all your musicians (workers) the sheet music (the plan). You have the right number of musicians (workers) in each section (department), and you've arranged the sections on stage so the music will sound best (you have organized the work). Now you need only to tap the podium lightly with your baton to get their attention and give the downbeat.

Monitor

Now that you have everything moving, you have to keep an eye on things. Make sure everything is going according to the plan. When it isn't going according to plan, you need to step in and adjust the plan, just as the orchestra conductor will adjust the tempo.

Problems will come up. Someone will get sick. Volume is not predictable. That is why you developed a contingency plan in the first place. You, as the manager or supervisor, have to be always aware of what's going on so you can make the adjustments required.

This is an iterative process. When something is out of sync, you need to Plan a fix, Organize the resources to make it work, Direct the people who will make it happen, and continue to Monitor the effect of the change.

Is It Worth It

Managing people is not easy. However, it can be done successfully. And it can be a very rewarding experience. Remember that management, like any other skill, is something that you can improve at with study and practice.

Effective Managers Create Employee Retention

Want the bottom line when it comes to employee retention? **The quality of the supervision an employee receives is critical to employee retention.** People leave managers and supervisors more often than they leave companies or jobs.

It is not enough that the manager is well-liked or a nice person. Sure, a nice, likeable manager earns you some points with your employees. A draconian, nasty, or controlling manager takes points away from our organization. But, a manager or supervisor, who is a pro at employee retention, knows that the quality of the supervision is the key factor in employee retention.

Managers who retain staff start by communicating clear expectations to the employee. They share their picture of what constitutes success for the employee in both the expected deliverables from and the performance of their job.

These managers provide frequent feedback and make the employee feel valued. When an employee completes an exchange with a manager who retains staff, he or she feels empowered, enabled, and confident in their ability to get the job done.

Employee complaints about managers and supervisors center on these areas. Employees leave managers who fail to:

- provide clarity about expectations,
- provide clarity about career development and earning potential,
- give regular feedback about performance,
- hold scheduled meetings, and
- provide a framework within which the employee perceives he can succeed.

Almost every manager can increase his/her ability to retain employees by developing his/her management skills. These ideas will help you develop as managers who believe in and act in ways that support employee retention.

- integrate performance management including goal setting,
- give and receive feedback,
- recognize and value employees,
- coach employee performance,
- handle employee complaints and problems,
- provide a motivating work environment, and
- hold career development discussions with employees.

After all, it is the quality of the people you employ and retain on your team that is the heart of our business success.

Performance management is vital to the success of business operations but in a world full of variables – including technology changes, economic slumps, and a shift in worker demographics, performance management is increasing in both importance and complexity.

We must understand the components of performance management in order to optimize our results. With a better insight into many key areas of performance management from compensation and competency management, to succession planning and beyond, we will ideally be positioned to engage, retain and develop our work teams for the good of the company.

Nothing consistently supports our business more than the performance management process. The administrative aspects may seem overwhelming however you are dealing with our organizations most critical asset – its people – and the data you obtain can offer the most accurate measurement possible of your teams overall skill and talent.

The purpose of performance management is to shift the curve to the right and encourage improvement; all employees should have their own development plan. These are used to target and strengthen overall skill sets to improve and prepare your team for advancement. More importantly, when the employee is not performing their duties as well as you like and you have determined you want to replace them, you have already taken the necessary steps.

Firing an employee is serious business. Not just to avoid lawsuits, but to treat people with dignity and respect is the goal, even when an employee is not performing. While our company is an “At Will” employer, it is still important to develop a solid case for firing an employee. It’s still important to communicate effectively with the employee every step of the way until employment termination is the best solution to performance issues. The employee being terminated should not be shocked or not have a sense that the termination is coming.

The employee should always know it is coming. Management should have been communicating problems and issues so employees are not completely blind-sided. Performance issues leading to employment termination should always be clearly understood. A **Performance Counseling Notice** is a required part of the performance management process and a communication tool in our efforts to communicate with an employee.

Hiring Smart

Distress prevails among most independent businesspeople today. It is troubling to balance growth with the shortage of qualified, motivated employees. This is aggravated by the fact that the majority of the jobs we have to offer here at Shore Mortgage and United Wholesale are specialized.

Employee satisfaction is a valuable tool for any employer faced with a staffing challenge. When employers demonstrate genuine concern for their employee’s satisfaction with their work, they earn a bonus – superior performance. Employees work harder, their work quality is better and they are less likely to leave.

When your attitude toward your employee is that they are being paid to do a job and that if they don’t, they will be fired, they know it. The key to our success in recruiting is that our employees like working for us. Happy employees tell their peers and friends about us and encourage them to work for us as well. Seek to function as a coach and mentor and listen and advise your subordinates. Job retention by improving job satisfaction is much less expensive than recruiting, hiring and training.

Training

In general Managers must plan for, train, and motivate employees within the perspective of what is expected from the department and staff they manage or supervise. What makes managers or supervisors “effective” is doing their job with competence, confidence and caring. No successful company can maintain high quality people unless it is managed with compassion and caring. Make you management credo the following:

- Don't make your subordinates wrong, even if you disagree with them.
- Hear and understand them.
- Tell the truth with care and compassion.
- Remember to look for their good intentions.
- Acknowledge the greatness within them.

The old adage “People are our most important asset” is wrong. People are not our most important asset. THE RIGHT PEOPLE ARE.

Always keep in mind that whether someone is the right person for the job has more to do with character traits and innate capabilities than with specific knowledge, background and skills. Our success largely depends on our ability to recognize and foster the link between successful employee results and the process of building our human capital. Human capital is largely what is in the heads and hearts of our employees. This means we must build employee capability in order to have employee commitment follow. Human capability represents the knowledge, skill, ability and motives of each individual employee in his or her position. Our job is to make sure each of our employees have the technical and social know how to accomplish their work. We must clarify what the employee needs to know and do and then provide the training and development they need to make sure they can perform the skills that are needed to be a successful employee.

Motivation

There are no universal answers to the problem of motivation. Managers must target their approach to the individuals they are trying to motivate. Treating people alike works only rarely and then by chance. The critical skill is correct diagnosis: Who am I really dealing with? What kind of a person? One who's afraid or one who isn't?

Someone with a reasonable dose of the winner attitude is easier to deal with. He or she is the one who keeps focused on the success of the organization. Fearful people or people who look to others for direction are victims. They respond best to protective approach because their experience tells them to have faith in you, that so long as they do their jobs you'll be ok with them. You can change that victim mentality only by allowing your people to win. Where they see themselves as triumphant they will function the way you want them to. They need to know that you believe in them.

Firing an Employee

Assuming that you have taken steps to help an employee improve in his or her work performance and that they are not working, it may be time to fire that employee. There are legal and ethical steps in how to fire an employee.

Ensure that the company's actions, as you prepare to fire an employee, are above reproach. How you fire an employee sends a powerful message to your remaining staff. This message can be positive or negative so fire an employee as a last resort.

But, do not jeopardize the company's success by retaining a non-performing employee. Fire an employee to ensure the success of our other employees for our business. But before you do, the most important thing you can do with any employee is to PROVIDE FEEDBACK so the employee knows he/she is failing.

The steps we take when preparing to fire an employee matters. Unless the actions of the employee require immediate dismissal from the premises, a progressively more intense feedback to the employee about his/her work performance is in order. Make sure you are communicating with the employee by obtaining feedback from the employee that you are communicating effectively. Always keep in mind that the goal of the feedback is to help the employee succeed and improve. Document the content of the feedback meeting along with the date and time.

In order to document feedback, the company requires that you use the attached employee **Performance Counseling Notice**. It is recommended that you first give the employee a verbal counseling meeting with a time frame for needed improvement. Should you not notice an improvement within that timeframe required, you need to provide the employee with a second meeting that is in writing and notes the information from the first meeting as well. (See Performance Counseling Notice,

Exhibit 1) Outline the problems you have been experiencing and a time frame for needed improvement. Also note what the result will be should the improvement not be obtained in the timeframe outlined. In all cases, it is recommended that the Director of Wholesale or the Human Resources department review the plan before it is given to insure consistency and fair treatment of employees across the company.

Counseling & Work Coaching

The first step in any effort to improve employee performance is counseling or coaching. Counseling or Work Coaching is part of the day-to-day interaction between a supervisor and an individual who works in his or her work area. There are six main steps in effective and supportive counseling or work coaching. While this tool must be used when working with a staff member with whom needs improvement or will be terminated, it is a great tool to use ongoing with all team members who report to you.

Keep the following in mind when working with your employee for improvement:

How to Provide Feedback That Has an Impact

Make your feedback have the impact it deserves by the manner and approach you use to deliver feedback. Your feedback can make a difference to people if you can avoid being defensive in your response to them. Provide the feedback regularly, such as once a week, and be specific on how they are doing.

Show confidence in the employee's ability and willingness to solve the problem.

Describe the performance problem. Focus on the problem or behavior that needs improvement, not the person. Ask for the employee's view of the situation. If they are not in agreement with your opinion, use this time to define your expectations.

Determine if issues exist that limit the employee's ability to perform the task or accomplish the objective. Common barriers are time, training, tools and temperament. Determine how to removed these barriers and add these actions to the overall plan.

Agree on an action plan that lists what the employee, yourself as the Manager or Supervisor and possibly, the HR Dept., will do to correct the problem.

Set a date and time for follow-up.

Coaching for Improved Performance

This approach avoids the need for discipline and produces great results. Make sure the employee knows exactly what is expected of them; make your standards very clear and

explicit. Disciplinary action is sometimes necessary when an employee's behavior is negatively impacting their work, a coworker's or the workplace.

How to Hold a Difficult Conversation

Chances are good that one day you will need to hold a difficult conversation. These steps will help you hold difficult conversations when people need professional feedback.

Performance Improvement Plan

This is a great way to document what the employee needs in order to succeed at work. It is designed to facilitate constructive discussion between a staff member. See attached form.

Develop Employee Strengths – Not Weaknesses

The traditional approach to developing employees, one of the critical factors in employee motivation, has been to identify weaknesses. The employee is then sent to training or just told to get better at whatever his or her weak area is. If the area of weakness is critical to the employee's job success, developing the weaker area makes sense. Otherwise, consider moving them to a position that will match their best skills.

It has been proven that the trait we commonly call talent is highly overrated. Expert performers – whether in memory, surgery, or computer programming – are nearly always made, not born. Practice does make perfect. The cliché, do what you love is true. If the employee does not like their job and they are not committed to their career, no matter how much training or assistance you provide, he or she is unlikely to work hard enough to improve. Sometimes what someone lacks is the desire to be good and to undertake a deliberate practice to get better. This is important and your ability to measure this is crucial to determining if the employee is worth the extra effort and time that will be needed to get them to the level that you need them to be.

Many employers have moved away from annual performance appraisals in recent years. Since the true goal of the performance appraisal is employee development and organizational improvement, they have moved to a performance management system. This can be a very effective tool should you want to use it.

If you follow this process you will use a Performance Development/Improvement meeting (See attached Exhibit 2) system that will significantly improve the performance of the staff you currently manage. Depending on the performance of the employee and

the scope of their responsibilities you can use this form to meet with them weekly, monthly, quarterly or anyway you feel it would be useful for you both.

Preparation and planning for Performance Development/Improvement meeting requires more work be invested and you may initially feel as if the process is too time consuming. However, in the long run this system will:

- Define the purpose of the job, job duties, and responsibilities.
- Define performance goals with measurable outcomes.
- Define the priority of each job responsibility and goal.
- Define performance standards for key components of the job.
- Hold interim discussions and provide feedback about employee performance, preferably daily, summarized and discussed, at least, quarterly. (Provide positive and constructive feedback.)
- Maintain a record of performance.
- Provide the opportunity for broader feedback.
- Develop and administer a coaching and improvement plan if the employee is not meeting expectations.

The Performance Development/Improvement Meeting

The Performance Development/ Improvement Meeting (PDI) are designed to facilitate constructive discussion between yourself and your staff member to clarify the work performance to be improved.

In all cases, it is recommended that the supervisor's supervisor and the Human Resources department review the plan. This will ensure consistent and fair treatment of employees across the company. The supervisor will monitor and provide feedback to the employee regarding his or her performance on the PDI and may take additional disciplinary action, if warranted, through the organization's **Performance Counseling Notice**, if necessary.

Preparation for the Performance Development/Improvement Meeting

- Prepare for the PDI meeting by collecting data including work records, reports, and input from others familiar with the staff person's work.
- Examine how the employee is performing against all criteria, and think about areas for potential development.

- Develop a plan for the PDI meeting which includes answers to all questions on the performance development tool with examples, documentation and so on.
- Make your feedback have the impact it deserves by the manner and approach you use to deliver feedback. Avoid being defensive and provide feedback that is specific and not general.
- The feedback should focus on a specific behavior, not on a person or their intentions.
- The best feedback is sincere and honestly provided.
- Describe actions or behavior that the individual can do something about.
- Effective feedback is well timed. Provide the feedback in a positive or constructive way and as closely tied to the event as possible.
- Be consistent. If a policy violation merits discipline, it should always merit discipline.
- Constructive feedback alerts an individual to an area in which performance could improve. This should not be criticism.
- The main purpose of the feedback is to help people understand where they stand in relation to expected and/or productive job behavior.
- Recognition for effective performance is a powerful motivator. Most people want to obtain more recognition, so recognition fosters more of the appreciated actions.

Additionally, the supervisor should review the following six items with the employee when using the document for needed improved performance.

1. State performance to be improved; be specific and cite examples.
2. State the level of work performance expectation and that it must be performed on a consistent basis.
3. Identify and specify the support and resources you will provide to assist the employee.
4. 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 progress.
5. Specify possible consequences if performance standards are not met.

THE PDI FORM

Part I of the PDI is the section in which you will list all items you feel need to be addressed as well as projects etc. that may need to be completed. This will enable the employee to understand their true value added to the organization. You should

number the item, list the item itself and the estimated time in which it is expected to be complete.

- The meeting should begin with the items you are aware of you want completed. The estimated time in which these are accomplished should be added at the time of your first meeting as well as any additional items you both may come up with during the meeting. Some of what you will list will be areas of needed training or experience, important personal and professional developmental goals to enable you and the employee to identify what is most significant to our organizations success.

Part II will be completed at the following meeting. You will list each item with an update or assessment of results as well as the actual completion date. Any personal developmental goals set should increase their ability to contribute to the organizations success. These accomplishments also provide a foundation for their career success. This is a great tool to grow talent from within our organization.

Part III is a narrative by you to the employee. This section should be used to address in writing your concerns and thoughts. Each time you meet you should begin this section with the most recent information and not delete the previous comments. Be clear with your expectations in this section as many employees will read this again at a later time and will obtain a much better understanding of your expectations.

Part VI thru VII should be discussed and completed together.

EXHIBIT 1

PERFORMANCE COUNSELING NOTICE

Employee Name:

Date of Counseling:

Employee Department:

Time of Counseling:

REASON FOR COUNSELING:

- | | | |
|--|--|---|
| <input type="checkbox"/> Attendance | <input type="checkbox"/> Carelessness | <input type="checkbox"/> Insubordination |
| <input type="checkbox"/> Lateness | <input type="checkbox"/> Failure to follow
Instructions | <input type="checkbox"/> Working on Personal
Matters |
| <input type="checkbox"/> Rudeness
Employees/Customers | <input type="checkbox"/> Willful damage to
Material/Equipment | <input type="checkbox"/> Unsatisfactory
Work Quality |
| <input type="checkbox"/> Violation of Company
Policies/Procedures | <input type="checkbox"/> Other | |

PREVIOUS COUNSELING:

ORAL

WRITTEN

DATE

BY WHOM

1st Warning

2nd Warning

3rd Warning

EMPLOYER STATEMENT:

DATE:

(List performance issues and include specific examples)

Continued unsatisfactory performance in the mentioned areas will lead to further disciplinary action up to and including termination of your employment. As your manager I am here to help you succeed on the job and therefore will monitor your performance. Should you have any difficulty meeting these requirements, please come and discuss the issues with me immediately.

EMPLOYEE STATEMENT:

_____ I agree with Employers Statement and I am committed to making the above change

_____ I disagree with Employers Statement for the following reasons:

Employees Signature

Date

Consequence/Action to be taken should incident occur again:

Warning

Probation

Suspension

Dismissal

I HAVE READ THE ABOVE PERFORMANCE COUNSELING NOTICE AND UNDERSTAND IT.

Employee signature

Date

Supervisors signature

Date

Sr. Management signature

Date

EXHIBIT 2

PERFORMANCE DEVELOPMENT / IMPROVEMENT NOTICE

Name:

Position:

Supervisor:

Position:

Date:

Date of Next PDI:

This Performance Development / Improvement Notice (PDI) session is the primary method of enhancing two-way communication within our organization.

This PDI form and meeting is a useful way of summarizing what this individual expects to accomplish during the next month or time period to next meeting. It provides a vehicle for the manager and employee to track each other's performance and give feedback to each other on a regular basis. The discussion during the DPI review need not be confined only to the items listed. This form is to be used as a "stepping stone" to open up dialogue. This dialogue should facilitate the ability of both individuals to change direction in respond to internal or external changes in the business and to establish a clear set of priorities.

I.

ITEM NO.

EXPECTED RESULTS

ESTIMATED TIME

ADDITIONAL OBJECTIVE ESTABLISHED BETWEEN PDI SESSIONS:

II.

ITEM NO.

ASSESSMENT OF RESULTS

ACTUAL TIME

III.

SUPERVISOR'S COMMENTS

General Comments

**IV.
CHANGES PLANNED TO IMPROVE WORK
METHODS AND SYSTEMS**

ASSESSMENT OF ACTUAL CHANGES

**V.
MY PROFESSIONAL
DEVELOPMENT OBJECTIVES**

ASSESSMENT OF ACHIEVEMENTS

**VI:
SUPPORT (RESOURCE, ASSISTANCE) I
NEED FROM MY SUPERVISOR**

ASSESSMENT OF ACHIEVEMENTS

**VII.
CONCERNS AND ISSUES NEEDING ATTENTION INSIDE OR OUTSIDE MY AREA:**