



INSTITUTIONALIZING POLICIES AND PROCEDURES

Region B Parent Center Conference

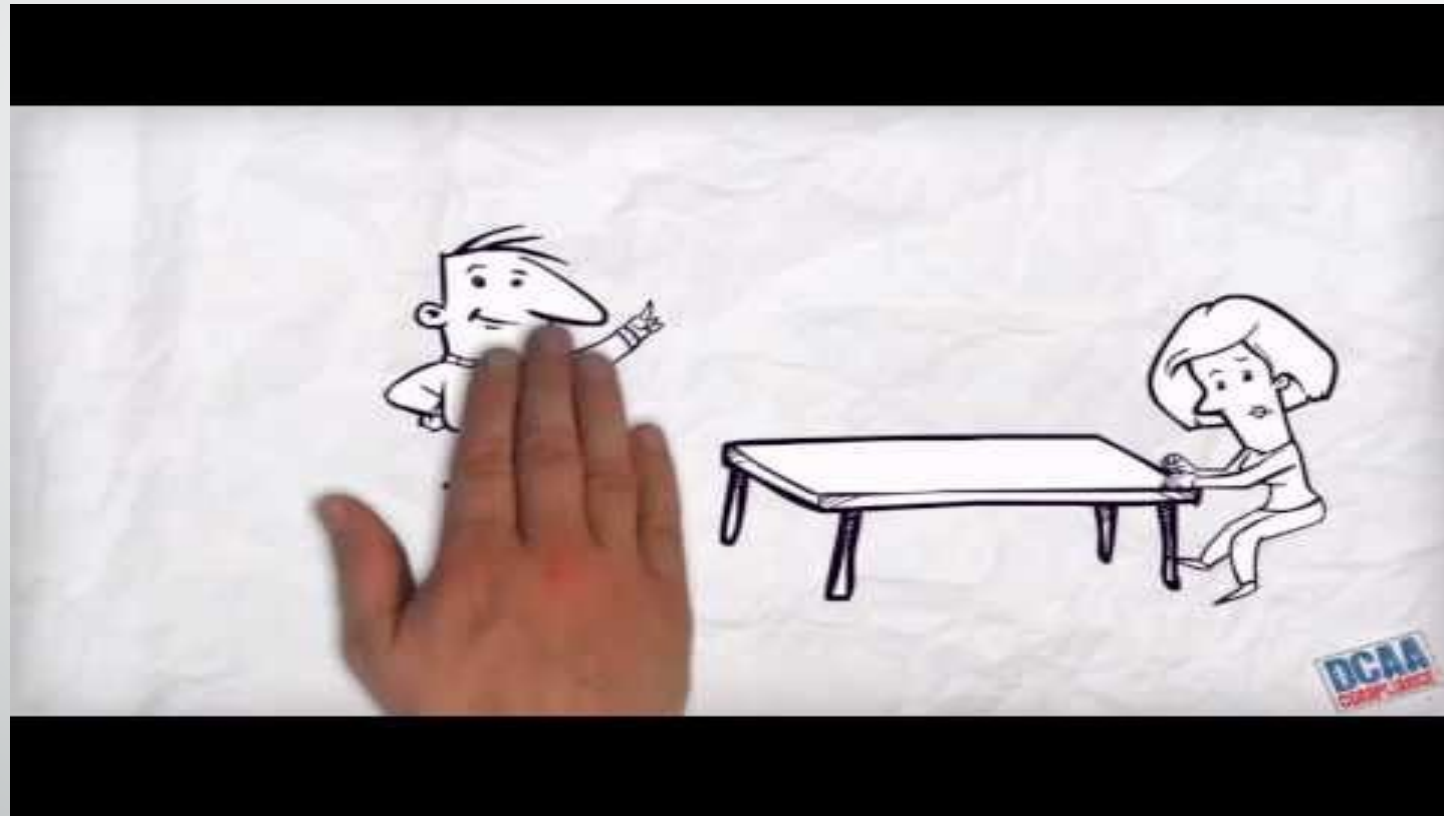
June 19, 2019

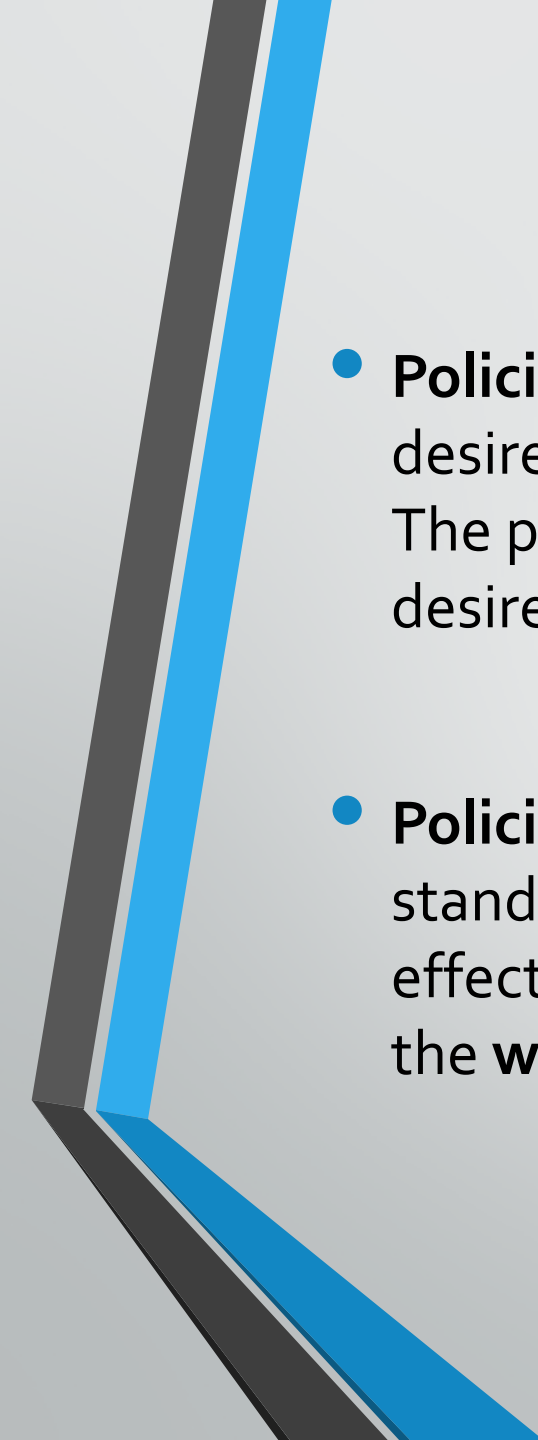
Charleston, South Carolina

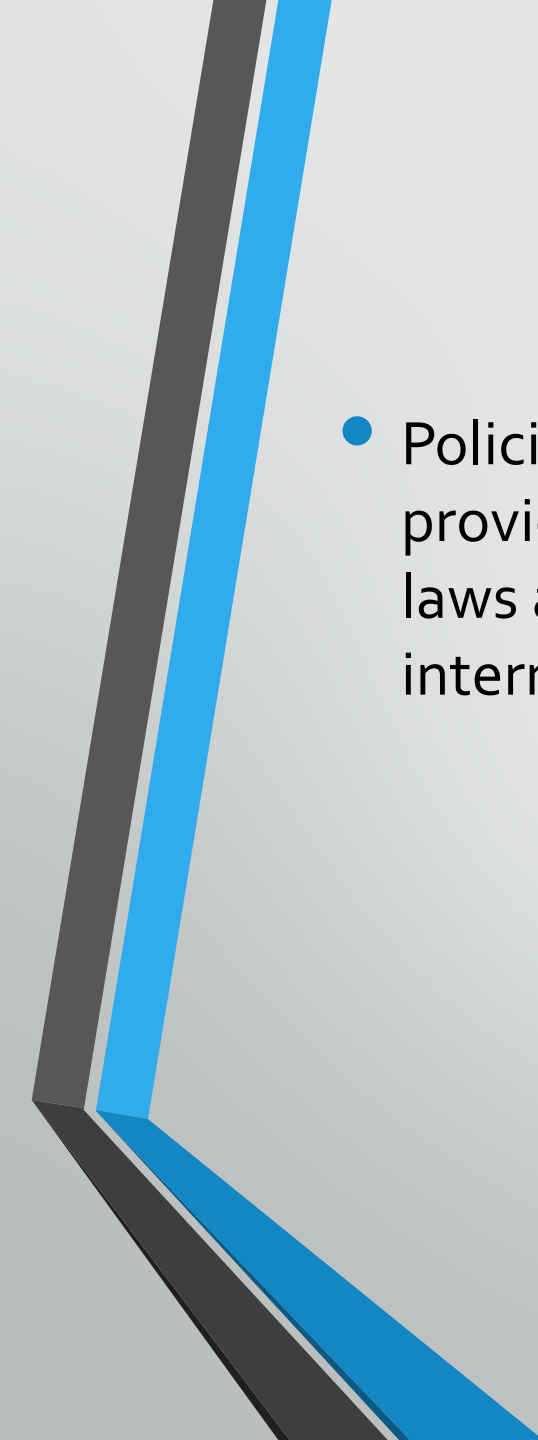
INSTITUTIONALIZING POLICIES AND PROCEDURES


- Successful organizational leadership
 - Importance of organizational policies/procedures
 - Developing, establishing and implementing policies & procedures
 - Connecting your policies/procedures to your organizations' mission & vision
- Why enforce established policies/procedures?
 - Impact on management
 - Impact on staff
- Organization culture and the implementation of policies/procedures
 - Role of culture in an organization
 - Types of organizational culture
 - Assessing your organization's culture
- Developing an Action Plan for institutionalizing policies & procedures

WHY Policies & Procedures



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- **Policies** are needed because they set a general plan of action used to guide desired outcomes and is a fundamental guideline to help make decisions. The purpose of policy and **procedures** is to communicate to employees the desired outcomes of the organization.
 - **Policies** are **important** in a **workplace** as it helps reinforce and clarify the standards expected of employees and help employers manage staff more effectively as it defines what is acceptable and unacceptable in the **workplace**

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- Policies and procedures are an essential part of any organization. They provide a roadmap for day-to-day operations. They ensure compliance with laws and regulations, give guidance for decision-making, and streamline internal processes.

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- Your most effective tool for training staff and ensuring everyone is on the same page is a well-crafted policies and procedures handbook.
 - Eliminates a lot of guesswork
 - Defines every step required to accomplish a specific task.
 - Procedures need to provide a step-by-step explanation that anyone can follow.
 - Any employee should be able to read your handbook or review a policy and follow the instructions to successfully complete the specific task.

Benefits of Having Well-Developed Policies & Procedures

- They help employees know what is expected of them with respect to standards of behavior and performance.
- They set rules and guidelines for decision-making in routine situations so that employees and managers do not need to continually ask senior managers what to do.
- They help you to adopt a consistent and clear response across the company to continually refer to situations involving employee interaction.

Benefits of Having Well-Developed Policies & Procedures

- They allow you to demonstrate good faith that employees will be treated fairly and equally.
- They allow you to have an accepted method of dealing with complaints and misunderstandings in place to help avoid favoritism.
- They give you a means of communicating information to new employees.
- They offer you protection from breaches of employment legislation, such as equal opportunity laws.

Five Steps To Developing A New Policy

- Step 1: Identify the Need for a Policy.
- Step 2: Determine Policy Content.
- Step 3: Obtain Stakeholder Support.
- Step 4: Communicate with Employees.
- Step 5: Update and Revise the Policy.

Tips for Writing Clear Policies/Procedures

- Use an action verb to start of each step in the policy or procedure (**turn** your computer on, **send** the report to the marketing manager).
- Break tasks down into bullet points.
- Use graphics, flow charts, videos and photos to make the instructions as clear as possible.
- Use as few words as possible (but don't leave out critical details)

Strategies for Implementing A New Policy

- Make policy/manuals accessible
- Policy/Policy Manuals, Forms, Instructions
- Provide training on policies
 - New employee orientation
 - Ongoing staff training (staff meetings, staff retreats, individual meetings with staff, etc.)
- Accountability
 - Coaching, Feedback
 - Documentation
 - Corrective Action

Why Employees Don't Follow Policies/Procedures

- They are hard to find or take too much time to use
- They are out of date
- They are dull or difficult to read
- No one has the responsibility of mentoring the team and their adherence
- Errors are treated as one-offs, not real problems with the documented policies/procedures

Regularly Review Policies & Procedures

- When behavior and practices are not consistent with policy, it usually means one of two things:
 - Your organization needs to better communicate policy and procedure with your staff and enforce compliance.
 - Your policy and procedures are outdated or incomplete.
- Employees can't follow procedures that don't exist. Employees can't follow procedures that contradict other policies.

Regularly Review Policies & Procedures

- Agency leadership must regularly review and revise policies and procedures, take new regulations, standards, technology, and structural changes into account.
- Every time you update policies, make sure to follow the strategies for implementing a new policy. Send out policy changes to your staff, incorporate them into training, test on policies, and hold employees accountable.



Creating a Culture of Accountability

Mission/Vision/Values

- Your agency likely has a mission statement, but do you function and live by it as a team?
- Your mission defines what you stand for as a Parent Center.
 - What is your purpose?
 - What is your reason for existing?
 - How do you serve?

Policies/Procedures & Your Mission/Vision/Values

About every family:

- Every family has value
- Every family has choices
- Every family can grow and build their capacity
- Every family is exactly where they ought to be at that moment
- Every family should feel comfortable when reaching out to P2P

*Parent Center guidance
around the provision of
Written Technical
Assistance*

Policies/Procedures & Your Mission/Vision/Values

About every P2P staff member:

- Every staff member is caring and empathetic
 - Every staff member is responsive
 - Every staff member is nonjudgmental and respectful
 - Every staff member is sincere, speaking from the heart
- Ethical Communications policy
 - Harassment & Discrimination policy
 - Employee Ethics

Forms & Instructions

F2PGA EMPLOYEE TRAVEL EXPENSE REIMBURSEMENT
All travel must be pre-approved in writing. Documentation of pre-approval for each trip must be attached to this form for processing.

Name: _____
 Beginning Date: _____ End Date: _____
 Reimbursement Request: _____ Travel Advance Documentation (submitted upon completion of travel): _____

A. Mileage (Destination/Nature of Business)

DATE	DEPARTURE	ARRIVAL	STARTING	POINTS VISITED	ENDING POINT	REASON FOR TRIP	STARTING	ENDING	LESS	TOTAL	Supervisor Initials -
MONTH	DAY	TIME	TIME				MILEAGE	MILEAGE	PERSONAL	BUSINESS	Campaign is in
									MILES	MILEAGE	Course/Topic
										0.00	
										0.00	
										0.00	
										0.00	
Total Mileage										0.00	
Reimbursement Rate										0.51	
Total Mileage Reimbursement										\$	-

B. Parking, Meals & Lodging (Receipts Required)

DATE	DESCRIPTION/EXPLANATION OF EXPENSE	EXPENSES
MONTH	DAY	
Total Advance		\$
Total Expenses		-
0.00 Amount due from/ (due to) Employee		
Total Parking, Lodging, Parking		\$
Total Reimbursement		0.00

Employee Signature: _____
 Date Submitted: _____
 Returned for Edits (Y/N) by Supervisor: _____
 Date Returned for Edits: _____
 Supervisor Approval: _____

For Final Approval:

Returned for Edits (Y/N) by CEIC/CO	CEIC/CO Final Approval
Date Returned for Edits	Date of Final CEIC/CO Approval
Amount	Amount
Account Code	Account Code
Amount	Amount

Instructions for completing each section of the form

- **Name:** This is where your name goes as the staff member who participated in the event
- **Beginning Date:** This should be the first day of the month or period for which you are submitting a request for travel expense reimbursement. Must include month, day and year.
- **Ending Date:** This should be the last day of the month or period for which you are submitting a request for travel expense reimbursement. Must include month, day and year.

Check One:

- **Reimbursement Request:** Check this option when requesting reimbursement for expenses that you have incurred as part of your job at P2P.
- **Travel Advance Documentation:** Check this option when you have received a travel advance (money provided to you in advance of a trip for estimated/anticipated expenses). Use this form to document how the money you received was spent. Attach all receipts to document use of funds. If funds were not fully expended, you must also submit repayment of remaining funds with this form.

Policies & Forms & Instructions

- In general, staff may request use of annual leave time after it is earned.
- Only a VP, COO, or CEO can approve a request for leave for more than 5 consecutive days or any request for leave without pay.

**Parent to Parent of Georgia
Employee Leave Request**

___ *Prior Approval Request* ___ *Post Approval Request (emergency/bereavement/sickness only)*

Employee's Name: _____

Date Request Submitted: _____ # of Accrued hours of annual leave: _____

Type of Leave Requested (Indicate total number of hours in blank)

___ hours Annual

___ hours Personal (per Employee Handbook)

___ hours Other (i.e., court leave, bereavement leave) Specify: _____

___ hours Extended Leave (per Employee Handbook)

DATE(S) and TIME of Requested Leave

Date(s): _____ Time: From _____ to _____

Reason for Request: _____

By signing, I understand that request is not approved until I received a signed approval form from my supervisor.

Employee Signature: _____

TO BE COMPLETED BY SUPERVISOR

Leave Approved? ___ Yes ___ Employee has adequate leave balance
 ___ No ___ Unpaid leave requested
 ___ Leave requested for 5+ consecutive work days

Supervisor's signature: _____ Date: _____

TO BE COMPLETED BY CHIEF EXECUTIVE OFFICER (CEO) OR CHIEF OPERATING OFFICER (COO)

Leave approved? ___ Yes ___ Unpaid leave approved
 ___ Leave in excess of 5+ consecutive work days approved
 ___ No

Explanation/justification for approval or denial: _____

CEO or COO Signature: _____ Date: _____

Revised 04-2018

Instructions for Completing Employee Leave Request

All leave requests will be reviewed based on a number of factors, including business needs and staffing requirements as well as the amount of annual leave time that the employee has accrued. Every effort will be made to grant annual leave when it is requested in a timely fashion; however, it may sometimes be necessary to deny such a request due to work demands, scheduling conflicts or lack of available accrued leave time.

General Guidelines for Completing Employee Leave Request

- Form is to be used ONLY when requesting one full work shift of leave or leave for consecutive days. For leave requests less than one full work shift, employee should request approval from his/her supervisor via email.
- At Parent to Parent of Georgia, sick and vacation leave is combined into ANNUAL LEAVE. Therefore, employees are responsible for maintaining adequate annual leave time for potential sick leave requests.
- Employee is responsible for reviewing his/her check stub to monitor individual leave balance.
- In general, employees can request the use of leave only after it is accrued.
- When a leave request is approved and signed by the appropriate Supervisor and/or Chief Executive Officer (CEO)/Chief Operating Officer (COO), the signed form should be returned to the Employee.
 - o The Employee must then attach the original signed form (or photocopy, if the approved leave crosses over two pay periods) to his/her timesheet for the pay period in which the leave is taken. Failure to submit the signed Leave Request Form to an individual's timesheet may result in delay in processing his/her pay.
 - o The signed form will be maintained with the corresponding timesheet by the COO and/or Bookkeeper.

Prior Approval Requests:

- All requests for planned time off (vacation, personal holidays, jury duty, etc.) must be submitted in advance of the day(s) that the employee wants to be off from work. Ideally, requests should be submitted at least one (1) week in advance.
- Employees are expected to request time off and receive approval PRIOR to making definite or firm plans. For example, reservations (hotel, care, airfare, cruise, etc.) that cannot be cancelled or modified if the leave request is not approved should not be made prior to receiving approval for time off.
- Employees who do NOT accrue annual leave should complete this form in order to provide notice to their supervisor of requests for time off. These employees should check "other" and write in "unpaid leave" or "leave without pay" to indicate the type of leave requested. They will also be required to complete the Unpaid Leave/Leave of Absence form.

Requests for Unpaid Leave:

- o As a general rule, unpaid leave time will not be approved.
- o Supervisors, Directors and Vice Presidents (VP) do not have the authority to approve requests for unpaid leave.
- o Requests for unpaid leave require CEO or COO approval.
- o Requests for unpaid leave must be made using the Unpaid Leave/Leave of Absence form in addition to this form.

Requests for Leave Exceeding Five (5) Consecutive Workdays:

- o Supervisors, Directors and VPs do not have the authority to approve requests for leave that exceeds five (5) consecutive work days.
- o Requests for leave exceeding 5 consecutive work days require CEO or COO approval.

Post Approval Requests (Emergencies, Bereavement and Sickness/Illness ONLY):

- In the event of a family emergency, bereavement or illness, it may be necessary for an employee to take time off from work without being able to request such leave in advance. In any such case where an employee is off for one full work shift or more consecutive days, he/she must complete the Employee Leave Request form upon return to work. Form must be completed and submitted to Supervisor on the first day back to work.
- If an individual is out for multiple consecutive days due to illness, it may be requested that the employee also submit a doctor's note that documents the illness that prevented him/her from working.

Extended Leave

Extended leave is for the purpose of family and medical leave. All medical leave requests must be accompanied by a medical disability form/documentation indicating that the employee is unable to work. The approval and length of leave will be determined at the discretion of Parent to Parent of Georgia. Extended leave may only be approved by the CEO or COO. Employees must use any accrued annual time for extended leave, before taking unpaid leave.

Revised 04-2018

Policies/Procedures & Accountability

Nature Of The Behavior:

- Failure to get prior approval for schedule changes
- Falsifying time sheet entries

Specific Plan for Improvement

- Before close of business February 11th, Employee will redo her timesheet, accurately reflecting her hours worked and resubmit to her Supervisor. Employee will follow both P2P policies regarding Work Schedules and Timekeeping from this point forward, with no exception and no further errors.

Facts Leading Up to Corrective Action

- Employee's scheduled working hours are Monday through Thursday 9am -2pm. Our handbook clearly states "Once a work schedule is assigned to an employee by his/her supervisor, employees are fully expected to adhere to that schedule—both in terms of start and end times. All schedule variances must be pre-approved in writing by employee's immediate supervisor or other member of management. Employees must attach the written approval to the timesheet that reflects that schedule variance."
- On January 24, 2018, Employee was scheduled to do a webinar and came in 45 minutes earlier than her regular schedule, but did not request for a change in schedule prior to the event.
- On January 25, 2018, Employee came in to work after 11am, but did not request for a change in schedule prior to the date.
- Furthermore, our policies state "Employees will make a correct entry on a timesheet for each time he/she begins to work, ceases work for any reason such as a lunch break, and for any other time the employee leaves his or her job site. This entry should reflect exact times, and should not be rounded up or down."
- On January 30, 2018, Employee submitted her time sheet (attached) where she did not note these changes. On her timesheet she stated that she worked 9am-2pm on both January 24th and 25th.



Credits

- Society for Human Resource Management (SHRM)



Thank you!!

Carolyn Hayer
Region A PTAC Co-Director

Stephanie Moss
Region B PTAC Co-Director