SANDEEP

Organization Development Training Module

Human Resource Management

Kathmandu, Nepal
November 2006

This module is made possible by the support of the American People through the United States Agency for International Development (USAID). The contents of this module are the sole responsibility of Save the Children USA and do not necessarily reflect the views of USAID or the United States Government.

Acknowledgement

Save the children USA has been working in the sector of organization capacity building and institutionalization of NGOs in Nepal over the last five years through its NGO strengthening project, locally known as SANDEEP (Sansthagat Diego Pariwartan). The project aims to strengthen the capacity of local NGOs to improve their service delivery particularly in conflict affected areas of Nepal.

SANDEEP has been working with 40 NGOs spread over 17 districts of Nepal in an OD approach, by developing the modular series to address the issues revealed through the organization assessment. It has produced training modules on governance and leadership, strategic planning and management, financial management, operational management, resource mobilization and human resource management.

The module on Human Resource Management is designed to optimize the performance of employees, consultants and volunteers in the organization by carefully carrying out the human resource functions while keeping them satisfied in their work. It covers a wide range of chapters on human resource management such as human resource functions, performance management and human resource development and empowerment. This module serves the purpose of a resource handbook for carrying out training on Human Resource Management independently by any person or organization. There are a number of people who deserve sincere acknowledgement for their genuine effort in the process of development and finalization of this module.

First of all, I am grateful to USAID for providing necessary financial assistance in terms of finalization of this module and the implementation of entire SANDEEP project. My sincere thanks goes to Professor Subas K.C, the Dean of Kathmandu University School of Management (KUSOM) for conceptualizing and writing the chapters of this module. Similarly, I would like to thank and congratulate the entire SANDEEP Team; Mr. Deepak Koirala (Team Leader), Ms. Manorama Adhikari (Organization Development Specialist), CBPOs and FCBOs Ms. Ratna Tandukar, Mr. Tekraj Pokharel, Ms. Janaki Kiran Shrestha, Mr. Rabindra Thapa and Mr. Rabi Regmi for their valuable inputs in customization and subsequent finalization of the module making it applicable for the NGOs in the context of Nepal. Last but not the least; I would like to thank Ms. Santoshi Bhomjan for her support in formatting this module.

Victoria R. Clawson
Country Director
Save the Children USA
Himalayan Country Office

Module Specification

Title:	**Human resource Management**
Series number:	**5**
Authors:	**Prof. Subas KC** **Mr. Prakash Koirala**
Original text:	**English**
Date produced:	**January 2007**
Date revised:	
Professional Support Team:	**Mr. Deepak Koirala, Save the Children USA** **Ms. Manorama Adhikari, Save the Children USA**

Table of Content

About the Modular Series on Organization Development Training

Context and Focus

Save the Children US (SC) works in partnership with International Non-Government Organizations (INGOs), Non-Government Organizations (NGOs), and local government authorities to implement its programs that promote institutional building of local organizations and government through strong leadership. As embodied in its international goals, SC is committed to building the capacity of partners, communities, and adults so as to ultimately achieve sustainable development in each country.

SC's view of capacity building goes beyond the conventional perception of training. The central concern of NGO capacity building perspective of SC is developing leadership and human resources, institutionalizing governance (developing systems and policy procedures), managing changes, enhancing coordination and linkages with donors and stakeholders, creating opportunities for sharing experiences, and empowering the community for policy influence. SC views capacity building as an ongoing and holistic effort that enhances the internal and external capabilities of an organization.

Since October 2003, SC is implementing a five-year project called "*SANDEEP*" for strengthening the NGO sector in the mid- western, far- western and eastern regions of Nepal. The strategic goal of *SANDEEP* is to enhance the capacity of the NGO sector to improve the delivery of health, education and economic support systems, especially for women, children and disadvantaged groups.

To accomplish this, *SANDEEP* aims to achieve results in three key areas:

- Strengthened and sustainable operational and financial capabilities of individual NGOs, networks and Intermediary Support Organizations (ISOs);
- Expanded linkages among and/or between NGOs, government, donors and private sector institutions to deliver effective and sustainable health, education and economic services to conflict affected communities; and
- Enhanced program learning, sharing and collective action among and/or between NGOs, government, donors and private sector institutions, to increase effectiveness and sustainability of service delivery.

As part of this support to partners, *SANDEEP* works with them to assess their organizations, analyze the results and identify strengthening activities, and then prepare capacity building plans. Based on these plans, *SANDEEP* supports organizational strengthening process by using a variety of activities such as trainings, workshops, review/reflection meetings, and exposure visits to build the capacity of partners.

As a key capacity development input, *SANDEEP* plans to bring out a Modular Series on Organization Development Training (MS – ODT) for training organizational members of Partner Organizations (POs) and Intermediary Support Organizations (ISOs) in the project area and for initiating the process of developing them. The MS-ODT covers six core areas of organization development identified through the assessment of and consultations with these organizations using the Institutional Development Framework (IDF). The series thus represents the capacity development needs of the NGOs in the project area as identified by them.

This series presently contains six training modules, each module focusing on one core area of capacity development of NGOs. More modules may be added to the series in the future after the implementation and evaluation of these six modules and as and when other capacity development needs are identified.

The modules combine the capacity building approach of training with the diagnostic process approach of organizational development. This combined approach is expected to provide NGOs with the basic resource for making informed analysis and plans to carry out organization development actions while giving less experienced organizational capacity building facilitators a structure through which they can help NGOs develop.

Goal and Objectives of MS –ODT Development Goal

Enhance in-house capacity of the Partner Organizations (POs) and the Intermediary Support Organizations (ISOs) for initiating, implementing and sustaining the process of developing their organizational effectiveness by working in a systematic and professional way on the various aspects and issues of organizational functioning.

Specific Objectives

The modules are designed to support the members of the participating organizations to:

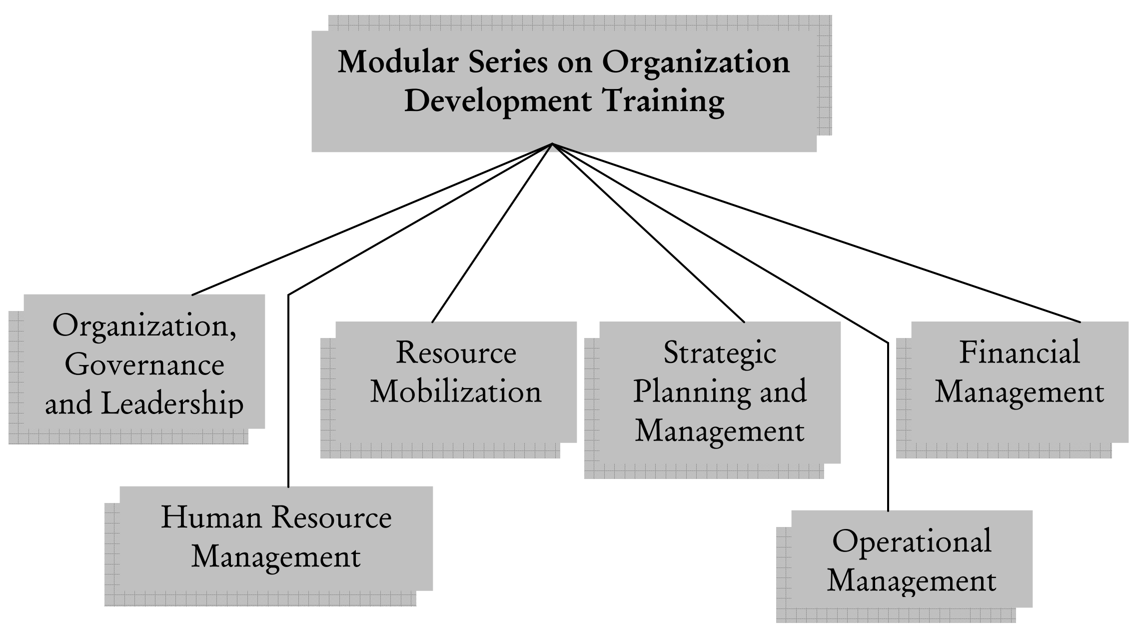
- Enhance understanding of the core elements of an organization and the way they influence organizational functioning, assess how they are designed, and initiate actions to improve their effectiveness for developing organizations;
- Manage their organizations strategically by planning, implementing, and

controlling organizational directions and core strategies to address the evolving environmental challenges and opportunities more proactively for organizational growth and for better service delivery;

- Mobilize effectively people and non-people resources, both community-based and external, to plan and implement their services and programs and to develop capacity of their organizations;
- Design effective systems, processes and methods for managing resources, services, and programs of their organizations and implement them efficiently for improving organizational performance;
- Develop and use human resource systems and capacity of their organizations for ensuring the regular availability and productive utilization of competent and committed workforce for enhanced human resource performance in the organization; and
- Develop and follow sound financial policies, systems, and plans to operate financial transactions and to achieve financial sustainability of their organizations.

Structure and Contents

MS-ODT is designed and developed in six modules, one module addressing each capacity development area as defined in the specific objectives. The six modules are as given below:



Module One: Organization, Governance and Leadership

This is a four-day module for NGOs leaders (board chairperson and members, executive directors) and senior managers. It helps them understand, assess, and develop their organizations from a strategic point of view. It explains the concepts and core elements of an organization and discusses governance and leadership in NGOs from the perspective of improving their existing structures and practices in order to develop organizational effectiveness.

Module Two: Resource Mobilization

This is a four-day module for local NGOs leaders (board chairperson and members, executive directors) and senior managers. It helps them mobilize and utilize resources for program development and management. It focuses on principles, policies and methods of fund raising and mobilization, financial sustainability, and resource utilization within local NGO environment.

Module Three: Strategic Planning and Management

This is a four-day module for local NGOs leaders (board chairperson and members, executive directors) and senior managers. It helps them manage their organizations strategically by establishing superior alignment with the environment and developing organizational capacity. It introduces the concepts and process of strategic planning and describes the techniques of planning, implementing, and evaluating strategies towards pursuing their mission.

Module Four: Financial Management

This is a four-day module for board chairperson, treasurer and members, executive directors and accountants. It helps them manage financial resources prudently and effectively. It introduces the policies, principles and methods of financial planning and control, accounting, and auditing,

Module Five: Human Resource Management

YOU ARE HERE

This is a four-day module for local NGO managers including executive directors, functional managers, and senior staffs (supervisors). It helps them develop and utilize the workforce in their organization productively. It covers principles and techniques of human resource and job information, human resource planning, staff recruitment and selection, performance management, and staff development and empowerment.

Module Six: Operational Management

This is a four-day module for local NGO managers including executive directors, functional managers, and senior staffs (supervisors). It helps them manage their respective functions, programs, and projects systematically. It covers management concepts, processes and tools such as planning for performance, implementation of programs and services, and evaluation of results

Design Principles

The organization development training program is designed following the **modular structure** to delineate and sharp-focus specific learning outcomes. The modular structure offers flexibility in use as each module can be used as a stand-alone package to develop a particular competency or multiple modules can be combined to develop a range of competencies.

The training modules in this series follow the **competency-based approach**. Specific elements of competencies required for the performance of the roles and functions the modules cover have been identified. The training design contains such contents and processes that will ensure the learning of those elements (i.e. knowledge, ability, and orientation) to the level that is required for satisfactory performance of the roles and functions. This will help the transfer of learning from the training situation to the real work situation.

The modules are based on the **selective coverage** of the job elements and the competencies for their performance. Rather than focusing on the wide range of tasks involved in performing the identified roles and functions, only a few but critical elements have been selected to build competencies for their effective performance.

About the Modules

The six modules of this series have been prepared to address the training needs of local NGO leaders, managers, staffs, and organizational members who have roles and responsibility for developing organizations. Each module identifies several specific target groups. These modules should be mainly used for training them. However, they can also be adapted to train other groups of people working for and with NGOs with similar job responsibilities and learning needs.

A training module can never be complete nor can it be rigid. Flexibility and continuous adaptation in the use is an important feature of any training module. Following this basic principle of module design, these six modules in the series are designed to be flexible so that the facilitators can tailor the work schedule to meet the needs of different target groups. It is suggested that the facilitators of these modules make necessary adaptations and innovations to suit specific requirements of a given situation. Users of these modules should not rigidly restrict themselves to the guidelines or contents presented here. They should build on the materials these modules contain and be flexible to the extent required by the contexts in which they use the modules. All modules have been prepared in a user-friendly style both in their contents and presentations.

The development of each module is based on three components: the **knowledge and skills** related to the functions the module addresses, the **assessment** framework and tools the learner can apply in his/ her organization, and the **action** assignment for applying the learning in the organization.

Each module contains an **entry system** setting up requirements for entering into the module, including assessment of participants against the learning objectives of the module. The **main body** of the module includes planned learning activities with detailed facilitation guidelines, materials for implementing learning activities, and background resource materials. The module also contains an **exit system** providing for learning assessment and transfer activities for application in the organization. A user guide for the facilitators accompanies each module.

Overview of the Module

Welcome to the training module **Human Resource Management** prepared as a basic resource for training leaders and managers of local NGOs. This module is a part of *SANDEEP*'s MS-ODT.

Why this Module?

Organizations are managed by people. How effectively organizations operate and achieve their goals depends largely on how professionally and productively their people are managed. This is the function of human resource management. Managing people and their performance involves designing and executing a series of human resource systems and practices that develop the capacity and productivity of organizational members while keeping them satisfied. Managers in local NGOs in Nepal have a need to develop capability to manage organizational human resources more professionally and productively.

This module helps local NGO managers develop and operate effective human resource functions and processes to manage the workforce for better performance. It focuses on the four major aspects of human resource management: developing conceptual and methodological understanding of managing people, staffing the organization, managing employee performance, and developing and empowering people in the organization.

Who this Module is for?

This module is for training **local NGO managers** who are responsible for managing workforce for effective organizational performance. This group includes executive directors, personnel and administrative officers, functional managers, and senior staffs (supervisors).

The module is prepared as a training manual. The facilitators who deliver the module will be its primary users. It is important that they already have some basic facilitation skills. It is also helpful if they have some previous knowledge on issues related to human resource management functions and processes.

Goals and Objectives of the Module

Instructional Goal

Develop and use human resource systems and capacity of organizations for ensuring the regular availability and productive utilization of competent and committed workforce for enhanced human resource performance in the organization.

Enabling Objectives

After completion of all the activities and study materials of the module, participants will be able to:

- Demonstrate a more systematic and professional approach to managing human resources for better organizational performance;
- Design and use professional approaches and techniques for staffing the organization and its programs/ projects to ensure the availability of the required staff and put them on jobs;
- Develop and apply performance-inducing systems and practices for motivated and committed performance from staff; and
- Plan and implement staff development and empowerment practices for developing capacity and quality of their performance.

Structure and Contents

The module is organized into three learning units.

Unit One: Managing Human Resources for Organization Performance. This unit introduces the concept and framework of human resource management as a basic service function for the operation and development of organizations. It covers what is involved in managing human resources, why it is critical for an organization, and how it is done. It also introduces the contents and structure of key documents governing the practices of staff management.

Unit Two: Staffing the Organization. The focus of this unit is on how to staff the organization or its programs/ projects in order to ensure the availability of people for performance. It addresses the key issue of how to plan for getting people and how to get them into the organization and put them on the job. It covers job and personnel information system, staff recruitment and selection, and induction/ placement.

Unit Three: Managing Staff Performance. This unit addresses the issue of how to ensure effective performance from people in the organization by designing and adopting performance-inducing systems and practices. It includes performance planning and appraisal systems, performance support practices, rewards systems, and staff relations practices for maintaining and enhancing staff performance.

Unit Four: Developing and Empowering Staff. The focus here is on how to empower and enhance capacity of staff for improved performance. It includes staff training and development system and staff empowerment practices.

Timing

Fours days (30 contact hours)

Entry Documents

Entry Guidelines

A. Have the participants who are taking this module read through its detailed learning objectives given in the next section.

B. If, after reading them, they feel that they can fully satisfactorily perform all or most of the activities described without studying them in the module, they may not require taking this module. So you may allow them to skip it. But, before doing so, it may be useful to have them take the entry test of the module to make sure that they really don't need the module. If the score is less than 50 percent, the participant requires the module.

C. If, after reading them, they feel that they cannot perform all or most of the activities described without studying them in the module, they require taking this module. Have them take the entry test of the module. If the score is 50 percent or less, the participant requires the module.

Learning Objectives

After completion of all the activities and study materials of the module, participants will be able to:

- Describe what human resource management is, why it is important for organizational performance, and how people can be managed effectively;
- Identify key documents guiding human resource functions in the organization and list their main contents;
- Describe the nature of human resource and job information for managing people in the organization, design a simple human resource information system, and prepare job description and job specification statements;
- Describe the concept and process of human resource planning and prepare a human resource plan for the organization following a systematic methodology;
- Explain the concept and process of recruiting and selecting staff, design staff recruitment and selection functions in the organization, and recruit and select

staff necessary for organizational performance following professional procedures;

- State the meaning and importance of orientation of new staff and prepare an orientation schedule to orient the newly hired employees.

- Describe the concept and components of performance management and its importance in getting effective results from people;

- Design and implement performance planning and appraisal systems for effective performance by staff members; and

- Create and manage performance support systems and practices for maintaining and enhancing staff performance.

- Describe the concept and process of developing staff performance and develop and implement practices for developing staff for improved performance; and

- Design and implement staff empowerment practices for improved performance.

Entry Assessment

The items for the entry test for participants follow in the next pages. The test is compulsory for all participants wanting to take the module.

A. Make copies in necessary number of the test questionnaire beforehand.

B. Administer the test before offering the module under standard conditions. The standard conditions are:

Time:	20 minutes
Modality:	Closed book written test
Type:	Trainer administered

C. Explain the test procedures, including how to answer the questions.

D. Work out test scores of participants immediately after the test. The key to scoring the test items is given in the User Guide.

E. Share the score with participants.

F. Encourage them to set goals for higher learning achievements as they study the module.

Module Five: Human Resource Management

Entry Test

Answer all 10 questions. The maximum time available is 20 minutes.

Please circle the most accurate answer in the questions below.

Q.1. The core purpose of human resource management is:

a. Developing employees in the organization

b. Getting effective results from people while keeping them satisfied

c. Maintaining good relations with employees

d. Providing good compensation to employees

Q.2. Which of the following is not the type of information that is fed into an organization's Human Resource Information System?

a. Job or career history

b. Qualification and training

c. Disciplinary actions

d. Organization structure

Q.3. Which of the following human resource functions does not use job analysis information?

a. Preparation of strategic plan of the organization

b. Preparation of job description and specifications

c. Selection of employees

d. Training and development of staff

Q.4. Performance standards of a job are defined in:

a. Job specification statement

b. Employee service rules or bye-laws

c. Job description statement

d. Employee welfare policy

Q.5. Human resource planning is an exercise that

a. Determines the remuneration package of employees

b. Identifies the number and type of employees necessary to run the organization

c. Identifies training needs of current employees

d. Analyzes jobs available within the organization

Q.6. Which human resource functions job advertisement is directly associated with?

a. Staff training

b. Staff compensation.

c. Staff planning

d. Staff recruitment

Q.7. Selection is a human resource function that

a. Determines skills development needs of employees

b. Generates a pool of candidates for hiring

c. Matches personal profiles of individuals with job requirements

d. Places new employees on the job

Q.8. Which of the following is the major initial activity in the performance management process?

a. Performance appraisal

b. Performance monitoring

c. Performance rewards

d. Performance goal setting

Q.9. In apprising an employee, the supervisor rates her poorly as she comes from *Dalit* community. What kind of perceptual mistake is it?

a. Hostility

b. Stereotyping

c. Leniency

d. Unclear standards

Q.10. Which of the following is not a staff development and empowerment practice?

a. Rewarding for performance

b. Sharing information with employees

c. Giving performance feedback

d. Performance coaching

Unit ONE

Managing Human Resource for Organizational Performance

Introduction

This unit introduces the basic conceptual framework for understanding the functions and processes of managing people in organizations for getting effective results from them while keeping them satisfied. It introduces a process model of human resource management identifying key functions necessary for managing the workforce in the organization and outlines the importance and outcomes of managing people effectively. It also gives an overview of the key documents guiding human resource functions in the organization.

Learning Objectives

After completion of all the activities and study materials of the unit, participants will be able to:

- Describe what human resource management is, why it is important for organizational performance, and how people can be managed effectively;
- Identify key documents guiding human resource functions in the organization and list their main contents.

Structure and Timing

Activity One: Understanding human resource management (Two hours)

Activity Two: Key human resource management documents (One hour)

Total Time: Three hours

……….Activity One

Understanding Human Resource Management

Time: Two hours

Why do this Activity?

This activity helps to understand what human resource management is and why it is important in the organization. It outlines core human resource functions for managing people and their performance in organizations.

Learning Objective

- Describe what human resource management is, why it is important for organizational performance, and how people can be managed effectively.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 40 minutes

Case discussion

Divide participants into mixed groups of 3-4 persons each. Give them Assignment Sheet 1.1. Ask them to discuss the case *People Problems of a New Manager* in the groups based on the questions given at the end of the case and to record their findings on chart papers.

Plenary

Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Summarize the key findings based on discussions. Identify the main issues and problems in managing human resources in the organization. Encourage participants to share their real experiences in managing people in their organizations.

Step 2: 25 minutes

Presentation and discussion

Ask participants how workforce in the organization should be managed. Showing visuals discuss the functions required for managing human resources in the organization based on the model given in handout 1.1. Refer back to the findings of case discussion as you explain the human resource functions.

Step 3: 25 minutes

Presentation and discussion

Ask participants what they understand by human resource management now that they have discussed the various functions of human resource management. Summarize their understanding and discuss the concept of human resource and human resource management based on the materials of handout 1.1.

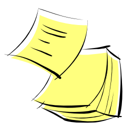
Further ask participants why they think human resource management is important for an organization. Summarize their contributions and discuss the importance of human resource management based on the materials of handout 1.1. Refer back to the findings of case discussion to demonstrate its importance.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 1.1: Understanding Human Resource Management
- Assignment 1.1: Case- People Problems of a New Manager

Handout 1.1

Understanding Human Resource Management

An organization is made of and run by people - like managers, employees, directors, volunteers, and coordinators - collectively known as human resource (HR). Naturally, then, its success largely depends on their contributions. This in turn depends on how effectively they are managed. If an organization puts in place proper and effective policies and practices for managing its human resources, it will benefit from their high performance. For this reason, it is important that all managers understand the basics of managing human resource. Those who are directly involved in developing and executing systems and programs for managing people should develop professional ability of managing human resource functions.

What is Human Resource Management?

In order to understand human resource management (HRM) it is important that we first understand the concept of human resource. Human resource, in an organizational context, is not only the number of people employed, as many people tend to think. It also means their quality and capacity to perform. Human resource implies both the *number* of people employed in the organization for carrying out its activities and their *capacities and potential* for performing them. Managing human resource therefore involves getting the right number and kind of workforce for organizational performance as well as developing, motivating and utilizing them for better performance.

> **Human Resource**
>
> - **Number of people employed and**
> - **Their potential and capacity to perform**

The fundamental assumption of human resource management is that every one in the organization has potential to perform. But this potential does not automatically translate into performance. Organizations need to put in place a management framework for people to perform. It is the responsibility of management to provide such structure and process for performance. This part of management is known as human resource management.

Human resource management is about *creating and implementing an enabling framework for organizational members to perform* more and better. It involves getting people into the organization and onto the job; motivating, developing and managing their performance; and preserving and promoting their interests both within the employment relationship as well as outside it. The fundamental purpose of creating and implementing such a management framework is to enable people to perform in a way that produces better results for the organization and keeps them satisfied. Hence human resource management is thus *getting effective result from workforce in the organization while keeping them satisfied*.

Achieving higher performance and satisfaction is a function of setting up appropriate policies, programs, and practices that guide the entire process of managing people and their performance. In this sense, human resource management is *a set of policies, programmes and practices designed and executed to enhance human resource effectiveness for supporting organisational goals and strategies by integrating the needs of the organisation and those of its people*.

Human Resource Management

- **A process of creating and implementing an enabling framework for organizational members to perform.**
- **A process of getting effective result from workforce while keeping them satisfied.**
- **A set of policies, programmes and practices designed and executed to enhance human resource effectiveness for supporting organisational goals and strategies by integrating the needs of the organisation and those of its people.**

Why Human Resource Management is Important?

Human resource management is a core management function in any type of organization, more so in a people-focused service organization like an NGO. It creates the most crucial condition for organizational performance. An effective human resource management system in the organization ensures the following distinct results for the organization:

- Enhanced human resource effectiveness.
- Improved productivity and quality of employee performance.
- Greater job satisfaction and commitment of staff.
- Availability of enabling conditions for performance.
- Effectively utilization of human capability and potential.
- Achievement of coordinated and inspired efforts from employees.
- Control of people-related costs (financial and non-financial) to the

reasonable limit.

- Compliance with legal, regulatory and social norms.
- Fulfilment of social and ethical responsibility of organization.

A better management of human resource eventually results in the development of sustainable core competence and competitiveness of the organization. This is fundamental to managing organizations strategically in the present competitive and changing environment.

How to Manage Human Resource?

Managing human resource involves a series of policies, programs and practices. Fig. 1 presents a conceptual framework of human resource functions that captures the key components of human resource management. The design and execution of human resource management system in an organization should build on these components for effectively managing human resources.

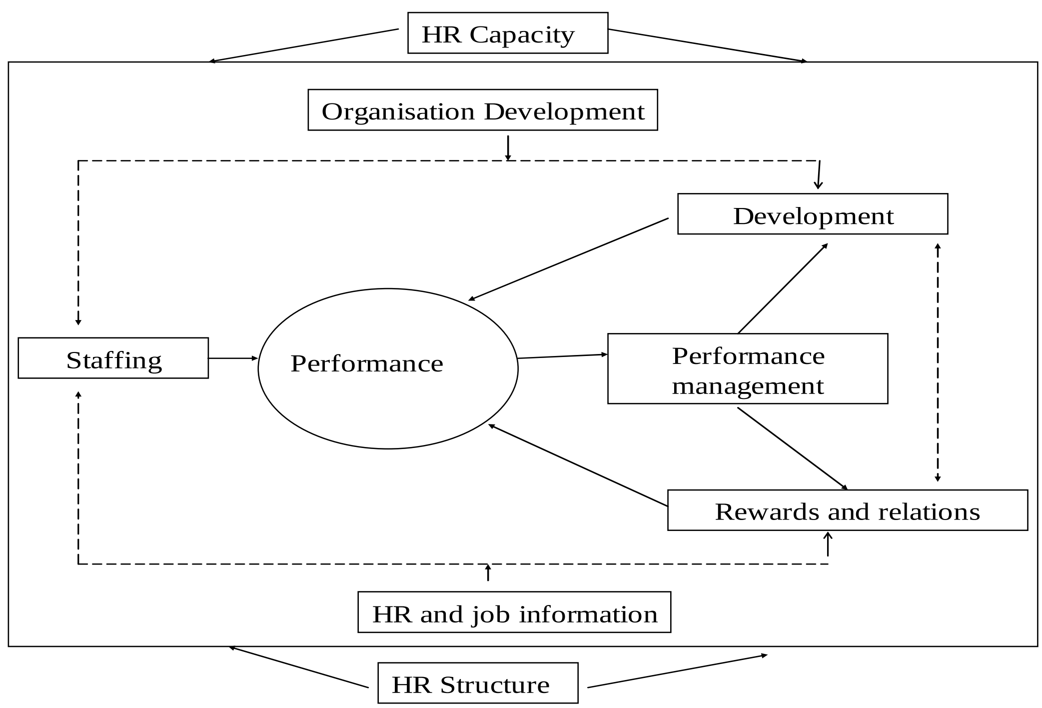


Fig. 1.1: Conceptual Framework of HR Functions

As the model suggests, the core of human resource management is the performance of employees. In order to get employee performance several functions are necessary. First, the organization needs to be staffed. **Staffing** deals with the entire range of employment aspects of managing people, ensuring their availability for the jobs in the organization when and where required and handling termination of employment. It involves a wide range of activities including design of staffing structures, assessment and planning of employee requirements, acquisition of people for the jobs, their placement and internal movements, administration of service terms and conditions, management of employee severance from the organization.

Better staffing usually results in employee performance to a certain level. To sustain and improve it, **performance management** is needed. Performance management presents a framework for ensuring effective results from employees through such practices as performance and competency planning at the individual or team levels, supervision and monitoring of those plans, appraisal of achievements, and diagnosis and correction of problems hindering achievements. Its proper design and use is essential for stretching performance beyond the existing limit.

Performance management in turn generates data about the needs for developing employees, rewarding good performers, disciplining the poor ones, and maintaining relationships with them. **Employee development** is what builds, sustains and further improves employee capacity for effective performance through an organized process of learning. While enriching individuals and teams in their jobs and professions and helping them grow in their careers, it ensures the continuous availability of necessary competencies in the organization for its effective operation.

Rewards and relations sustain good performance and motivates for further enhancement in performance by addressing employees' needs and protecting, preserving and promoting their interests and rights in the employment context. It is quite important that rewards and relations policies, programmes and practices are directly related to performance.

In order for these functions to be effective, it is important that a comprehensive **human resource and job information** system is in place in the organization. They are comprehensive database of organizational members and jobs that feeds required information into HR decision process and determines the quality of such decisions. Likewise, for human resource functions to produce conditions supportive of effective employee performance, a continuous process of **organization development** in terms of improvements in work systems, structures, cultures and procedures is required.

Two critical variables that determine the effectiveness with which these human resource functions are performed are: human resource capacity and structure in the organization. **Human resource capacity** refers to the in-house ability to perform human resource functions, including the number and skills of persons assigned for planning and executing them. **Human resource structure** is the way various human resource functions are organized and responsibilities for them are allocated. Human resource structure and capacity embraces all human resource functions and influence the way they are performed and the results that are achieved.

People in organizations are managed by planning, organizing, coordinating and controlling these activities to get effective performance from and give better satisfaction to them.

Assignment Sheet 1.1

Case: People Problems of a New Manager

You have recently been appointed as manager of a fast growing NGO, located in district headquarters. There are several other NGOs in the district providing similar services. In view of competitive environment for resource mobilization and service delivery, the main goal of your organization is to increase service delivery by 40 percent in two years time thorough enhanced competitiveness, quality services and program expansion.

The organization has altogether 30 staff: four officers, six supervisors and the rest junior program staff. Immediately after you took up the position, you wanted to develop their detailed profile in order to redeploy them for enhancing performance and productivity to achieve the strategic goals and implement strategies more effectively. Their personal files contain little information about them. As the previous manager had little interests in employees, there is no record about their expectations, concerns and problems.

Since the operation of the organization needs to be expanded considerably to achieve the strategic goal, you reckon that you will need extra helping hands and also more skills. No exercise has been done to identify this requirement precisely. The board of the organization has authorized the manager to acquire the employees required based on the growth target, but never before any initiative on this matter has been taken. As such, no rules or procedures do exist. You are not sure how you can get people that you will require soon.

Many of target beneficiaries of your programs have told you that they would like to see your staff doing better than what they are putting in at present. Your quick observation also suggests that there is a lot to be improved in getting better result from them. You wonder what can or should be done to help the staff members. You talked to some staff members. For their part, they think that their level of performance is good. If they were not doing as well as they should, then they should have been told about it. They complain is that there are no opportunities to improve their competency. They also seem to be less motivated. Many of them feel that the office has not done enough to recognize the efforts made by the staff members. You have yourself noticed that there are few, if any, opportunities for staff members to participate and communicate with the management.

Discussion questions

1. How would you assess the policies and practices of managing human resources in the organization?
2. What should be done to improve the practice of managing human resources in the organization?
3. Identify human resource functions which should be improved and the main changes that should be made in those functions.

……….Activity Two

Human Resource Documents

Time: One Hour

Why do this Activity?

This activity is designed to familiarize participants with the main contents of the two most widely used and important documents that organizations should prepare and use executing human resource functions.

Learning Objective

- Identify key documents guiding human resource functions in the organization and list their main contents.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 20 minutes

Brain Storming Briefly explain to participants the need for and importance of preparing in documented form various policies, plans, rules, procedures and regulations for managing human resource functions. Brainstorm on what are the various human resource documents that are necessary in organizations. Discuss and summarize.

Step 2: 40 minutes

Group Work Form even number groups (e.g. four or six groups). Assign to half of the groups the task of identifying the main contents of Employee Service Rules and Regulations (personnel bye-laws) and to the other half the task of identifying the main contents of Employee handbook (orientation manual).

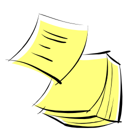
Plenary Assemble the groups. Have each group share their group work outcomes. Facilitate discussions and generate feedback. Share the main contents of both documents as given in Handout 1.2 using visuals.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.



Handouts

- Handout 1.2: Human Resource Documents

Handout 1.2

Human Resource Documents

For effective and systematic management of human resource functions, every organization has to prepare and use a number of policies, strategies, rules, regulations, plans, processes, and programs. They guide and regulate human resource practices and activities in the organization. Many organizations formally document and extensively use them in performing their human resource functions. Others do not go to the extent of formally documenting them, though they may have some broad and informal frameworks for guiding their human resource practices. It is always a good idea to document and formalize major human resource functions as it provides a systematic and clear framework for managing human resource functions. Otherwise human resource functions usually tend to be casual, unsystematic and random.

There are many human resource documents which organizations prepare and use for managing their workforce. What kinds of documents are in use largely depends on the needs of the concerned organization and also on how comprehensive human resource systems it has developed. Two documents which are used by almost all organizations are: employee service rules and regulations (also known as personnel bye-laws) and employee handbook (also known as staff orientation manual).

Employee Service Rules and Regulations

Also known as personnel bye-laws this document outlines the employment relationships between the organization and the employee. This guides the entire regulatory and administrative aspects of employment of people in the organization. Its main contents include:

- Staffing structures (skill mix of workforce – job classification in terms of nature of job and positional level)
- Job descriptions and specifications (job scope and competency requirements)
- Recruitment and selection systems (policies, procedures, criteria and methods of sourcing and selecting employees, types of employment, and management structures for executing them)
- Placement and induction of employees (appointment and socialization procedures and rules)

- Employees job movements (assignment, transfer, deputation, and promotion policies, rules, requirements, and procedures)
- Performance management (performance target setting and appraisal policies, rules, requirements, and procedures)
- Employee training and development (types, conditions, policies, rules, requirements, and procedures)
- Employee compensation (salary, benefits, rewards, and incentive schemes, policies, rules, requirements, and procedures)
- Employees leave provisions (types, conditions, policies, rules, requirements, and procedures)
- Service conditions and code of conducts (employment norms and terms, on-the-job and off-the-job behaviors, disciplinary procedures and rules)
- Employee relations practices (participation, protection, employee rights, internal communication, assistance, grievance procedures, and appeal procedures)
- Severance policies, procedures and benefits
- Miscellaneous

Employee Handbook

This document is prepared primarily for orienting the employees about the job and the organization as they enter and work in the organization so as to facilitate their performance. Its main contents include:

- Overview of organization (vision, mission, strategies, plans and programs, activities, structure, resources, linkages, and achievements and problems etc)
- Main highlights of employee service rules and regulations (based on the above documents)
- Job descriptions and specifications
- Work issues (what and how of working modalities)
- Staff development plan and procedures
- Documentation and forms for various services
- Time guidelines
- Leave provisions
- Financial transactions
- Communication (internal and external)
- Resources and facilities
- General safety and precautions

Unit TWO

Staffing the Organization

Introduction

The focus of this unit is on how to staff the organization or its programs/ projects in order to ensure the availability of people for performance. It addresses the key issue of how to plan for getting people and how to get them into the organization and put them on the job. It covers job and human resource information system, human resource planning, staff recruitment and selection, and induction/ placement.

Learning Objectives

After completion of all the activities and study materials of the unit, participants will be able to:

- Describe the nature of human resource and job information for managing people in the organization, design a simple human resource information system, and prepare job description and job specification statements;
- Describe the concept and process of human resource planning and prepare a human resource plan for the organization following a systematic methodology;
- Explain the concept and process of recruiting and selecting staff, design staff recruitment and selection functions in the organization, and recruit and select staff necessary for organizational performance following professional procedures; and
- State the meaning and importance of orientation of new staff and prepare an orientation schedule to orient the newly hired employees.

Structure and Timing

Activity One: Human resource and job information systems (Four hours)

Activity Two: Human resource planning (Three hours)

Activity Three: Staff recruitment and selection (Five hours)

Activity Four: Orientation to new staff (Two hours)

Total Time: 14 hours

..........Activity One

Human Resource and Job Information Systems

Time: **Four hours**

Why do this Activity?

This activity helps to understand the nature and importance of human resource information and job information for managing people in the organization. It also develops ability to design a simple human resource information system and to prepare job description and job specification statements for use in the organization.

Learning Objective

- Explain the nature of human resource and job information for managing people in the organization, design a simple human resource information system, and prepare job description and job specification statements.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 60 minutes

Presentation and discussion Refer to the conceptual framework of human resource management functions as discussed in Unit One and highlight the need for information about employees and jobs for managing people in the organization.

Ask participants what kinds of information about staff members are necessary to maintain in the organization and what uses they can be put to. Draw out the major kinds of human resource information an organization should maintain and discuss the concept and contents of HRIS using the materials given in handout 1.2 with the help of visuals.

Group Work Divide participants into mixed groups of 3-4 persons each. Give them Assignment Sheet 2.1a. Ask them to prepare a simple format for maintaining human resource information in a small NGO with the help of HRIS input data as given in Annex 2.1a.

Plenary Assemble the groups. Have each group present their formats taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Summarize the key findings based on discussions.

Step 2: 60 minutes

Presentation and discussion Ask participants what kinds of information about jobs are necessary for managing performance of employees in the organization. Further discuss how those information can be collected. Briefly explain the concept and process of job analysis using the materials given in handout 1.2 with the help of visuals.

Group Work Divide participants into small groups of 3-4 persons each. Give them Assignment Sheet 2.1b. Ask them to analyze the job of one of the members of the group using the job analysis checklist given in Annex 2.1b. Ask them to summarize the information about the job they have analyzed.

Step 3: 120 minutes

Presentation and discussion Explain to participants briefly about the concepts of job description and job specification and the process of preparing them based on the materials of handout 1.1 with the help of visuals. Explain the techniques of writing various components of the job description and specification statement with examples as given in handout 2.1.

Group Work Ask participants to work on the same groups as before. Give them Assignment Sheet 2.1c. Ask them to prepare job description and specification statements using the job analysis information they have collected in the earlier exercise. Ask them to use the format as given in Annex 2.1c and the partial example of job description and specification statement as given in Annex 2.1d.

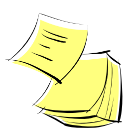
Plenary Assemble the groups. Have each group present their outputs taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others outputs.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 2.1: Human Resource and Job Information Systems
- Assignment 2.1a: HRIS Format
- Assignment 2.1b: Job Analysis
- Assignment 2.1c: Job Analysis and Job Specification Statement

Handout 2.1

Human Resource and Job Information Systems

Effective management of human resource functions in the organization requires adequate and accurate information about the jobs that exist and the people who perform them. For virtually all human resource functions information about the employees and their jobs is necessary. To provide this information, the organization should maintain human resource information system (HRIS) and job information system (JIS).

Human Resource Information System

HRIS is a database system that keeps important information about employees in a central and accessible location. It is *a system that collects, processes, stores and disseminates information about employees in the organization to support decision making, planning, coordination, control and analysis of various human resource functions*. HRIS feeds information into human resource policy and planning as well as other human resource decision process. For example, HRIS maintains information about career experiences, skills and appraisal ratings of employees, which can then be retrieved and used for making promotion, transfer or training decisions. The quality of human resource decisions depends largely on the adequacy and accuracy of information that is maintained about employees and the procedures and techniques used for retrieving and analyzing them. HRIS integrates various human resource activities for their coordinated and planned execution and hence provides for systematic and professional decision making about the management of people.

Importance of HRIS

- **Makes employee related information readily available**
- **Feeds accurate and adequate information into human resource decision process**
- **Integrates various human resource activities for coordinated actions.**

HRIS can be maintained manually or in computerized form. Whichever system one opts for, its maintenance requires the design of a system of information. This system is based on the identification of certain input data, information recording structures, and procedures for using the data. The system also generates a number of output data for use in human resource decisions as well for their implementation.

Input Data for HRIS

The major categories of input data for HRIS are as given below:

- Personal information (about the individual)
- Organizational information (positioning in the organization)
- Job/ career experience (current and previous)
- Performance and potential assessment (ratings and feedback)
- Qualification, training and competency (provided and identified)
- Payroll and benefits
- Development and succession plan
- Others (disciplinary, medical, references, absenteeism)

A more detailed listing of input data is given in Annex 2.1a. HRIS input data can easily be maintained in computer using Excel program if the organization has not developed a purpose-made software.

Output Data from HRIS

The following reports are usually generated from HRIS:

- Skills inventory
- Training and development report
- Compensation report
- Employee benefit record
- Turnover and absenteeism report
- Human resource plans

Job Information System

JIS basically involves the maintenance and use of information about the various jobs that exist in the organization. It forms the basis of a number of human resource decisions including job assignment, selection, training, development, appraisal, compensation, rewards and relations. Without proper and comprehensive information about jobs in the organization, managing people and their performance becomes ad hoc and ineffective. JIS is maintained by first analyzing jobs and then preparing job description and job specification statements.

Job Analysis

In order to analyze a job, one must first understand what a job is in an organizational context. A job is a basic unit of organizational performance. When all the jobs in the organization are performed effectively and productively, then only organizational performance is improved.

Components of a Job

- **Content factors**
- **Context factors**
- **Human requirements.**

A job consists of mainly three factors: a. content factors which are internal to the job such as tasks, duties, behaviors, authority, outputs, and performance standards; b. context factors which are external to the job such as equipment, physical/ social work conditions, work schedule, and organizational context with or within which the job is performed; and c. human requirements of the job such as knowledge, skills, experiences, and personal attributes.

Job analysis involves a process of understanding these three aspects of a job. It is *a process of gathering, recording and interpreting information about the content, context and human requirements of a job that differentiates it from other jobs, for the purpose of making certain judgements about the job and its place in the overall organisational context*.

Information for job analysis: In analyzing a job, one normally collects several kinds of information, important of which include:

- Job identification (such as the job title, positional level and location in the organization, the nature of service of specialization, relationships with the other jobs, and the basic purpose of the job).
- Work activities (including areas of responsibilities, specific tasks and duties to be performed, and outputs to be produced).
- Work characteristics (such as authority required).
- Performance standards (that are to be achieved while carrying out the work activities) and performance indicators (against which the actual performance can be measured).

- Human behaviors (required for carrying out the work activities, tasks and duties such as communicating, deciding, analyzing, observing, sensing, and moving).
- Machines, tools, equipment and work aids (necessary for performance and with which the work activities are carried out).
- Work conditions (within which the work activities are to be carried out such as physical setting, social context, work schedule, risk environment).
- Human requirements or competencies (for the performance of the job such as skills, knowledge, experience, qualification, personal and professional qualities).

Uses of job analysis information: The information about the job can be put to several uses such as preparation of job description and job specification as well as for making several other staffing decisions like recruitment and selection, placement and transfer, training and development, performance appraisal, and staff compensation and benefits. For example, the analysis of the job of training assistant shows that it involves frequent field visits to remote parts for training delivery and it requires good communication skills. This information can be used as criteria for selecting or placing appropriate training assistant. This will also indicate the training requirement of the job holder; if he/she does not have good communication skills, then he/she should be trained in this skill area.

Job analysis can be used in the recruitment and selection procedures to identify or develop job duties that should be included in advertisements of vacant positions, appropriate salary level for the position to help determine what salary should be offered to a candidate, minimum requirements (education and/or experience) for screening applicants, interview questions, selection tests/instruments (e.g., written tests; oral tests; job simulations), applicant appraisal/evaluation forms, and orientation materials for applicants/new hires.

In compensation management, job analysis can be used to identify or determine skill levels, compensable job factors, work environment (e.g., hazards; attention; physical effort), responsibilities (e.g., fiscal; supervisory), and required level of education (indirectly related to salary level)

Job analysis can be used in performance review to identify or develop goals and objectives, performance standards, evaluation criteria, length of probationary periods, and duties to be evaluated

Job analysis can be used in training needs assessment to identify or develop training contents, assessment tests to measure effectiveness of training, and equipment to be used in delivering the training, and methods of training.

Job analysis process and techniques: Depending on the intended uses, jobs can be analyzed extensively or in a simple and condensed manner. A simple procedure for carrying out job analysis would be as follows.

- Decide the use to which the collected information about the job will be put (e.g. preparation of job description and specification or identification of training needs).
- Choose the job for analysis (e.g. public health nurse, health supervisor).
- Collect and study background information to understand the nature and context of the job (e.g. organization chart of the office, existing job description, work process chart, operation manual, work guidelines).
- Adjust the job analysis check list (as given in Annex 2.1b) to suit the particular requirements of the job and the purpose of the job analysis exercise.
- Identify the job holders and their supervisors and inform them about the purpose of job analysis.
- Prepare them for job interview indicating when and where it will take place and what preparations they have to make.
- Conduct job interviews in an informal way using the checklist, taking notes of key responses.
- Observe the job holders doing their work activities in their natural setting for about a week using the checklist, and take note of the key findings.
- Compile, process, and analyze information thus collected.
- Summarize major aspects of the job, and verify them with the job holders and their supervisors while relating them with the organizational and program purposes of the office.
- Prepare job description and specification statement following the given format.

Job Description and Specification

Job analysis generates information that one normally uses for the preparation of job description and specification, a valuable management tool for managing staff performance. Job description is *a statement that defines the nature and scope of a job in terms of what work activities the job holder is to perform and why, how and under what conditions he/she is to perform them*.

Job specification further defines the job in terms of its human requirements. It is a statement that *identifies the skills, abilities, education, experience, and personal attributes necessary for performing the work activities*. Together job description and job specification provide a framework for staff performance by identifying and prescribing what is to be done and what requires for performing them.

For an individual staff, a job description and specification statement gives a direction for conducting his/her work behaviors and practices as well as for developing work competency in relation to the requirements of the organization. For the manager or the supervisor, it gives a

tool for supervising, guiding and developing work behaviors of his/her staffs to ensure better performance from them.

Since job description and specification has profound implications for staff performance, it is important that it is prepared in a way that focuses on and supports performance.

Components of job description statement: A comprehensive and performance-focused job description statement contains several components.

- Job identification. This section identifies the job in the organizational context and includes such information as:
    - Job title – the name of the job as officially approved or recognized.
    - Level or class – the seniority level in the positional hierarchical.
    - Service category - specialization group or class the job belongs to.
- Job location – unit or section where the job is placed in the organization.
- Relationships – with the other jobs in the organization such as who the job holder reports to, who he/she supervises, and who he/she has to coordinate with in carrying out the work activities.
- Job purpose or summary – what is the basic reason for the existence of the job or what is the general nature of the job in terms of broad responsibilities?
- Job contents. This section lists down the main internal elements of the job and includes such information as:
    - Work activities – the main responsibility/ result areas and specific duties to be carried out under each of them.
    - Performance standards – the level of performance the job holder is expected to meet while performing work activities.

- Performance indicators – the criteria the supervisor will use to measure the level of performance of the job holder.
- Time requirement – the approximate percentage of time the job holder is expected to spend in each responsibility area.
- Authority – the extent of discretion or decision limit of the job holder in utilizing resources including staffs, money, information or things.

- Work context. This section identifies the physical, geographical and social setting within which the job holder performs his/her work activities and includes such information as work place (indoor or outdoor), job aids (tools, equipment, machineries), social context (individual or team work), frequency of movements (visits to different places), and work nature (risks involved or difficulties).

Components of job specification statement: It identifies the human requirements of the job and includes such information as educational attainments, professional experience, skills and abilities, personal and professional attributes and qualities like aptitude, interest and motivation, and personal or social circumstances.

A format of job description and specification statement is given in Annex 2.1c. A partial illustration of job description and specification statement for the job of Health Education Officer of a health project is given in Annex 2.1d.

Writing job description and job specification: Some important guidelines for writing job description and specification are in order.

- Go through the job analysis information carefully, absorb the information fully, and visualize the overall profile of the job mentally.
- Use the given structure for preparing the job description and specification statement.
- Write each component, preferably in the sequence as given in the prescribed structure, by phrasing appropriate words or sentences on the basis of the relevant information. While doing so, verify the accuracy of the information as well as the presentation of each component.
- Use special principles, techniques or conventions related to the specific components of the statement. Some important general writing conventions are: be concise, avoid duplications, be consistent in style, use simple terms and phrases, use strong and concrete words, use direct sentence structure, be specific, avoid vague and abstract expression, and make it easily understandable by the job holder.

- Check consistency between and among the various components while writing them and after completing all of them. Work on any inconsistencies as they are detected, and rephrase or rewrite them as needed.

- Share the draft with the job holder and his/her supervisor, get feedback, and revise as necessary.

Specific techniques for writing various components of job description and specification statements are as follows:

- Writing the 'Relationship...' component: This component consists of three types relationships: upward, downward, and sideward.

- The 'Reports to...' element means the supervisor of the job holder; write the job title of the supervisor who the job holder reports to. Example for health education assistant: *Reports to - district public health officer*.

- The 'Supervises...' element refers to the subordinates who the job holder supervises; write their job titles and the number of persons against each job title. Example for health education assistant: *Supervises – junior training assistants (2).*

- The 'Coordination...' element includes the other jobs within or outside the office the job holder has to regularly work with for his/her job performance; write the job titles and against each job title write the nature of relationship such as supporting, informing, cooperating, information seeking, consulting, advising, and liaising. Example for health education assistant: *Coordination - public health nurse (support seeking for training delivery); accountant (submitting training costs statement).*

- Writing the 'Job Purpose/ Summary...' component: Phrase one sentence that captures the essence of the job; the fundamental reason why does it exist in the organization. Example for health education assistant: *Plan, implement, coordinate and monitor all health education and training programs for raising health awareness and health delivery capacity within the district as per the district health plan*.

- Writing the 'Responsibility/Result Areas and Duties...' component: This component includes two levels of work activities of the job holder: broad responsibility/ result area and duties.

    - The 'Responsibility/Result Area...' element refers to the main functional or activity area where specific duties are to be carried out and significant results are to be produced. The 'Duties...' element means specific activities needed to produce results in each responsibility area. In each responsibility/ result area, there could be several duties that are necessary for the job holder to perform.

- Write the Responsibility/ Result Area in broad term as a phrase. Example for health education assistant: *Responsibility/ Result Area – Training and education materials.*

- Write the Duties in a sentence form consisting of three parts. Start with the action to be performed and write it in a plural action verb. Then, write the object of the verb to answer to whom or what the action is done. Finally, write the expected result from or the reason for the action. Perform what action? ; To whom or what? ; To produce what? Example for health education assistant: *Duty under the Responsibility Area 'Education Materials' – Prepare health education materials by mobilizing local resources to use them in health education and training programs.* A list of action verbs for writing duty statements is given in Annex 2.1e.

- Writing the 'Performance Standards ...' component: Writing performance standards are not easy, but without them the job holder will have no benchmarks for his/her performance and the supervisor will have difficulty motivating and assessing performance of his/her staffs. For each responsibility/ result area or the identified duty, write the level of performance or output expected of the job holder in the organization. This can be done by specifying the quantity, quality, time, cost or satisfaction norms the job holder should achieve with respect to the concerned responsibility or duty. Example for health education assistant: *Performance Standard for the Responsibility Area 'Education Materials' – A complete set of education materials is prepared a month ahead of the program delivery, and the materials approved by public health officer.*

- Writing the 'Performance Indicators ...' component: Write the criteria against which the performance targets can be set and the actual performance can be measured with respect to each responsibility/ result area. Use quantity, quality, time, cost or satisfaction measures as indicators. Example for health education assistant: *Performance Indicators for the Responsibility Area 'Education Materials' – Number of new educational materials prepared (quantity indicator), Average time taken for preparing the materials for one day program (time indicator), Education materials approved by public health office without any changes (quality indicator).*

Annex 2.1a

An Example of Input Data for HRIS

1. Identification:	Surname First and middle name Code number
2. Other personal information:	Address (including telephone number) Next of kin Date of birth Gender Marital status Nationality
3. Organization locations:	Department/Unit Location
4. Occupation history:	Prior to joining company • Employers • Positions held • Dates
Dates of joining	Recruiting source Status of employment: full time, part time, temporary, contract Positions held within the organization, dates appointed, job titles and department, job grade
5. Salaries and benefits:	Salary history • Basic salary • Dates and amounts of change • Reasons for change • Planned next change Bonus Benefits eligibility/awarded Pension scheme membership
6. Performance and potential assessment:	Most recent performance data Most recent data covering potential

	Psychological test score, results, dates
7. Qualifications:	Level Field Specialist/professional Apprenticeship
8. Training received:	Training courses attended • Internal/external • Level of course • Duration and dates
Training planned	
9. Competencies:	Competencies required in present job Personal competencies Competency requirements Language skills
10. Development Plans:	Career moves possible Planned next moves (if relevant) • Position, grade, timing
11. Succession plans:	Entries in succession plans
12. Medical history:	(Confidential - restricted access)
13. Absenteeism	
14. Overtime/shift work part time	

Annex 2.1b

Job Analysis Checklist

1. Job title:
2. Positional level:
3. Section or unit:
4. Service or specialization group:
5. Relationships with the other jobs: (reporting to? supervises? coordinates with?)
6. Basic purpose of the job/ core functions:
7. Main areas of responsibilities/ results: (existing responsibilities, additionally required responsibilities, and redundant responsibilities)
8. Specific duties to be performed under each responsibility/ result area: (regular duties, occasional duties, existing duties, additionally required duties and redundant duties)
9. Human behaviors required for carrying out the work activities, tasks and duties:
10. Time required for performing duties in each responsibility/ result area: (in percentage)
11. Authority for performing duties: (existing and required)
12. Performance standards for each responsibility/ result area:
13. Performance indicators against which to measure the actual performance:
14. Machines, tools, equipment and work aids for performance: (existing and additional required)
15. Work conditions for carrying out work activities: (existing and changes required)
16. Skills and abilities: (technical, professional, behavioral and managerial; currently

possessed and ideally required)

17. Job knowledge: (technical, professional, behavioral and managerial; currently possessed and ideally required)

18. Job experience: (type and length of experience; currently possessed and ideally required)

19. Educational qualification: (level, degree and specialization; currently possessed, officially required and ideally required)

20. Personal and professional qualities: (aptitudes, interests, traits; currently possessed and ideally required)

21. Personal circumstances affecting job performance: (age, gender, marital status, health conditions, religious or cultural practices; currently possessed and ideally required)

Annex 2.1c

Job Description and Specification Format

Part One: Job Identity

1. Position title:	
2. Position level:	
3. Service group	
4. Work Unit:	
4. Reports to:	
5. Supervises:	
6. Work relationships:	
7. Job purpose:	

Part Two: Job Contents

8. Performance Areas and Standards

Responsibilities and Duties	Performance Standards	Time
A 1. 2.		
B. 3. 4.		

9. Authority

10. Performance Indicators

Performance Indicators
1. 2.

Part Three: Work Context

11. Work Place:

12. Job aids:

13. Social context of job:

Part Four: Job Specifications

14. Minimum Educational Attainment:

15. Minimum professional experience:

16. Job knowledge and competencies

17. Critical Attributes:

Annex 2.1d

A Partial Illustration of Job Description and Specification Statement

Part One: Job Identity

1. Position title:	Health Education Officer
2. Position level:	Officer – 1
3. Service group	Health Education Group
4. Work Unit:	Community Health Project
4. Reports to:	Health Project Manager
5. Supervises:	Health Education Motivators – 3
6. Work relationships:	1. All unit in-charges – Finance, Administration, Other Projects (coordinating, supporting, guiding and information sharing in relation to health education programs) 2. Public Health Officer of the District (support seeking, coordinating, reporting in relation to health education programs)
7. Job purpose:	Plan, implement, coordinate and monitor all health education programs for raising health awareness within the project area as per the Project Document.

Part Two: Job Contents

8. Performance Areas and Standards

Responsibilities and Duties	Performance Standards	Time
B. *IEC materials preparation and use* 6. Prepare health education materials by mobilizing local resources to use them in health education programs. 7. …	• A set of education materials is prepared a month ahead of the program delivery, and the materials are approved by the Project Manager. …	20 percent of total time

9. Authority

- Select participants in training and education programmes as per the approved selection criteria.
- Use training facilities and materials for running programmes as per the approved plans.

- Solicit and obtain information and reports from in-charges of ward level health units about the planned health education and training activities.
- Sanction/ authorize expenditures for health education and training activities up to Rs. 300 at a time from the approved budget.

10. Performance Indicators

Performance Indicators
• Number of IEC / training programs planned, approved and organized. • Number of persons covered by IEC/ training programs. • Number of new IEC/training materials prepared and approved. • Average cost per trainee/ target person. • Percent of trainees/ target persons satisfied with IEC / training programs. • Percent of trainees/ target persons applying the new information or learning after the completion of IEC / training programs. • Number of planned activities carried out without major supervisory supports.

Part Three: Work Context

11. Work Place: Both office setting (about 40 percent of the time) and short but frequent field works in the local communities for education and training delivery (about 60 percent).

12. Job aids: Use of simple locally available training and IEC materials and equipment.

13. Social context of job: Mostly team work for planning and delivering training and IEC programs with other health staffs and outside resource persons.

Part Four: Job Specifications

14. Minimum Educational Attainment: Bachelor Level in Health Education from the recognized institute.

15. Minimum professional experience: Minimum two years of work experience of health services delivery at the junior level job in the district with one year experience of teaching or training.

16. Job knowledge and competencies

- Understanding of the principles and techniques of IEC and training programs.

- Understanding of adult learning and community awareness processes and practices.
- Understanding of the major content areas of health education and training.
- Ability to design and prepare simple IEC and training materials based on the local materials.
- Ability to communicate and make presentation clearly and persuasively.
- Ability to handle simple IEC and audio-visual materials and equipment.
- Ability to prepare plans and write IEC and training reports.

17. Critical Attributes: Interest in training and communication works, interpersonal orientation, expressive and analytical orientation, adaptability, friendliness, adaptability.

Assignment Sheet 2.1a

HRIS Format

Go into the assigned group. Carefully study the input data of HRIS as given in Annex 2.1a and do the following tasks.

- Prepare a simple manual format for maintaining information of staff members in a small NGO.
- Take care that most of the input data suggested in Annex 2.1a are included in the format but it is not necessary to include all of them.
- Use Excel program if facility is available and you are familiar with the program.
- Share the format in the plenary and discuss.

Assignment Sheet 2.1b

Job Analysis

Go into the assigned group. Choose the job of a person in your group for analysis and analyze the job by collecting information from the person using the checklist as given in Annex 2.1b. Do the following tasks.

- Ask questions to the selected job holder based on the checklist.
- Study the relevant documents that give information about the job, if available.
- Summarize the main information about the job discussing the nature of job among you.

Assignment Sheet 2.1c

Job Description and Job Specification Statement

Work in the same group as before. Using the job information collected earlier; prepare job description and job specification statement for the job you have analyzed.

- Use the job description and specification format given in Annex 2.1.c.
- Refer to the sample illustration of job description and specification as given in Annex 2.1.d.
- Ask the facilitator for guidance when in doubt as you write various components of job description and specification statement.

……….Activity Two

Human Resource Planning

Time: Three Hours

Why do this Activity?

This activity is designed to familiarize participants with the concept and process of human resource planning as a major staffing function to fulfill the workforce requirement of the organization. It helps them prepare a human resource plan for the organization for better staffing.

Learning Objective

- Describe the concept and process of human resource planning and prepare a human resource plan for the organization following a systematic methodology.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 20 minutes

Presentation/ Discussion Ask to participants how organizations know when, how many and what kinds of staff will they need and how do they ensure their availability. Based on their responses, introduce the concept of human resource planning.

Briefly explain to participants the need for and importance of human resource planning in organization with the help of materials given in handout 2.2 and showing visuals.

Step 2: 40 minutes

Illustration Explain to participants the step wise process of human resource planning showing the illustration given in Annex 2.2.

Explain each step by illustrating necessary calculations using whiteboard or chart paper. Highlight the key points and discuss the techniques and programs that the illustration contains.

Summarize the total process.

Group Work Form small groups of 3 -4 participants each. Give them Assignment Sheet 2.2. Ask them to prepare human resource plan for the organization using the information in the exercise. Ask them to use the same process and formats as shown in illustration (Annex 2.2).

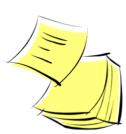
Plenary Assemble the groups. Have each group share their group work outcomes. Facilitate discussions and generate feedback.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.



Handouts

- Handout 2.2: Human Resource Planning
- Assignment 2.2: Human Resource Plan for Sahara

Handout 2.2

Human Resource Planning

One of the main objectives of managing human resources in any organization is to provide the organization with the required number and quality of staff to do the work that will lead to the achievement of its goals. Human resource planning serves to achieve this objective. This is the major initial step of staffing an organization or its program/project. Without properly estimating the requirement of people and carefully planning for their acquisition and utilization, the organization should not start recruiting and hiring employees.

What is Human Resource Planning?

Human resource planning is *the process by which an organization ensures that it has the right number and kinds of people at the right place at the right time, capable of effectively and efficiently completing those tasks that will help the organization achieve its overall objectives*. The process involves *analysis and estimation of the need for and availability of staff for implementing organizational strategies and plans as well as development of programs for meeting the need in the most effective way.*

As a strategy human resource planning is an exercise to maximize the contribution of human resources in the goal achievement process. As a process it identifies the future needs for human resources both in terms of quality and quantity, compares the needs with the present work force, determines the number and types of employees to be acquired or phased out, based on the organization's strategies and objectives, and formulates programs to meet the workforce needs of the organization.

Human Resource Planning

- **Makes right kind and number of employees available at right time for performing jobs**
- **Estimates need for and availability of employees**
- **Relates human resources to organizational goals and strategies**
- **Develops programs to meet human resource needs in the organization**
- **Maximizes the contribution of human resources in goal achievement process.**

The basis of human resource planning is the organizational goals and strategies without which human resource requirement of the organization can not be estimated and planned. In this sense human resource planning is a process that *translates organizational objectives and strategies into the number and types of people required to meet them and develop programs to get the required people into the organization*.

Aims of Human Resource Planning

The main reasons for undertaking human resource planning are to ensure that the organization:

- is able to meet its future human resource needs (i.e. obtains and retains staff in sufficient numbers and with required skills to be able to operate effectively and achieve organizational objectives);
- fully utilizes the human resources employed;
- has access to valuable data base for key human resource decisions;
- integrates and monitors human resource policies; and
- keeps control of human resource costs.

Process of Human Resource Planning

Human resource planning basically involves the following five phases of actions:

Assessing Current Human Resources

This step involves developing a profile of the current status of human resource within the organization. This is an internal analysis that includes an inventory of the current staff and skills already available and a comprehensive job analysis. Such assessment is done by preparing a human resource inventory report. The input to this report would be available from human resource information system (HRIS) of the organization which maintains human resource database. The database contains information about each employee; names, education, training, prior employment, current position, performance ratings, salary levels, capabilities and specialized skills.

Human resource inventory report is valuable in determining what skills are currently available in the organization and also in identifying current or future threats to the organization's ability to perform from human resources perspective. Job analysis provides information about the nature of the jobs in the organization and the behaviors necessary to perform those jobs. Based on this information, the assessment of the current human resources in the organization can be done more accurately.

Analyzing Organization's Plans

The organization's objectives, strategies and targets for the future determine future human resource needs, i.e. the number and skills required. Hence it is important to analyze the plans of the organization to identify its human resource requirements. Demand for human resources is a result of demand for the organization's product or services. Based on the planned level of product or service, the number and skills requirements of human resources can be ascertained.

Forecasting Human Resource Needs (Demand Analysis)

Demand forecasting is usually done by identifying the most appropriate measures that can be related to the need for human resources. Such measures are usually the main outputs of the organization such as service level, revenue level, production level etc.

Demand forecasting can be done for the whole organization first and then the estimated figures can be allocated to each sub-unit (top down approach). Alternatively, it can be done for each sub-unit first and then the estimated figures can be aggregated to project demand for the whole organization (bottom-up approach).

Several methods of forecasting demands are available, e.g. managerial judgment or Delphi method. The ratio trend analysis is the most widely used technique for forecasting the future demand. This technique seeks to calculate a ratio between activity level or output and staff number and between one type of employee compared with another. This can be expressed as the number of people required for a certain activity level or the number of work hours for a given level of outputs. It is carried out by studying the existing ratios. The figures thus arrived are adjusted for the planned productivity enhancement measures and anticipated human wastage.

Forecasting Human Resource Availability (Supply Analysis)

This basically looks at the availability of human resources in the organization at a particular point in time and also in the labor market. The internal supply assessment is done by flow analysis. Flow analysis tracks down the movement or flow of people which either increases or decreases their number in a given period of time.

An increase in the supply of human resources can come from new hires, transfer-in or returns from leave. Similarly a decrease in supply can come from retirements, dismissals, transfer-out, layoffs, voluntary quits, death, and sabbatical. An estimation of such changes needs to be made based on the past trends. The decrease in supply is usually expressed as a turnover rate calculated on the basis of past trends.

Determining Human Resource Requirements

This step involves matching both demand and supply and determining the shortage or surplus of people.

Designing Human Resource Programs

The main programs that may need to be designed to reconcile demand and supply include:

- Recruitment plan
- Staff training and development plan
- Retention plan
- Redeployment plan
- Redundancy plan.

An example of human resource planning preparation process and techniques is given in Annex 2.2.

Annex 2.2

An Example of Human Resource Planning

Swastha is an NGO running health programs through various health outlets in a district. It has mainly three main categories of staff: paramedics, managers, and support staff. In 2005 the total number of staffs was 100 and in the current year (2006) it is 140. The staffing pattern or proportion of three staff categories is: paramedics 60 percent; managers 10 percent; and support staff 30 percent. The past trend suggests that the staff turnover rate for all categories is about 5 percent (due to retirement, resignation etc.). The total numbers of people served in the programs run by *Swastha* in years 2005 and 2006 were 24,000 and 27,000 respectively. The organization has a plan to send 5 percent of staff for one year qualification upgrading program each year from 2007.

Swastha has prepared a strategic plan for the next two years. It plans for the expansion of its health programs in the district in next two years that include among others establishment of new health outlets. It also plans to introduce incentive schemes and new health technology that will result in increased productivity of staff by 10 percent in 2008. The plan projects growth targets of 33,000 and 40,000 people to be served in 2007 and 2008 respectively as a result of the above programs.

Based on the information given, human resource plan for *Swastha* can be prepared as follows.

1. Current Human Resources

1.1 Staff categories/ skill-mix

Year	Paramedics (.6)	Managers (.1)	Support Staff (.3)	Total
2005	66	11	33	110
2006	84	14	42	140

1.2 Staff turnover: 5 percent annually

2. Organization's Plans

- Expansion of health programs
- Establishment of new health outlets

- Projected growth rates in people served: 2007 – 33,000; 2008 – 40,000

3. **Forecasting of Human Resource Needs** (Based on the Ratio Trend Analysis Method)

The activity or output factor selected: **number of patients served** (as this is the core program output)

2005	2006
24,000	27,000

The staff category selected: **paramedics** (as this is directly related to the selected output factor)

2005	2006
66	84

Productivity Ratio (Number of patients per paramedic derived by dividing number of patients served by number of paramedics)

2005	2006	Average
364	321	343

Demand forecasts for paramedics					
Year	Projected patients	Existing parameds	Paramed/ patients ratio*	Adjusted ratio$	Parameds required
2007	33000	84	343	343	96
2008	40000	96	343	377	106
* Average of last two years					
$ Adjusted for productivity increment					

4. **Forecasting of Human Resource Availability**

Staff outflow: 5 percent expected turnover based on past records and 5 percent to be absent on account of study leave.

Supply forecast for paramedics			
Year	Existing parameds*	Expected outflow#	Parameds available
2007	84	8	76
2008	96	19	77
* At the start of the year			
# 5 percent turnover and 5 percent long training			

5. Determination of Human Resource Requirements

Estimation of parameds requirements				
Year	Parameds required	Parameds available	Surplus/shortage of parameds	
2007	96	76	-21	
2008	106	77	-29	
Total staff requirements				
Year	Parameds (.6)	Manager (.1)	Support staff (.3)	Total (1)
2007	-21	-3	-10	-34
2008	-29	-5	-15	-48

5. Design of Human Resource Programs

As there will be shortage of all types of staff in both the planning years, the organization has to develop the following programs:

- Recruitment and selection program to hire a total of 34 employees of three categories at the beginning of year 2007 and also at the start of year 2008. For detail, refer to the following activity.

- Orientation of the newly hired staff members and development of orientation packages for the programs immediately after hiring the needed employees in both years.

Assignment 2.2

Human Resource Plan for Sahara

Read the case given below. Based on the given information, project the human resource requirements of *Sahara* for the years 2007 and 2008 based on HR supply and demand analyses and propose HR programs to address human resource requirements in the forecast period.

Sahara is an NGO working for women and children through income generation and education programs. Despite growing competition in this field locally and recent declines in donors' fund, *Sahara* has managed to make a steady growth over the years, particularly in the last couple of years, as can be seen from the following figures:

Year	Number of beneficiaries served	Staffing level
2004	5' 000	24
2005	6' 000	32
2006	8' 000	38

Sahara employs basically three categories of staff: Managers, Supervisors, and Workers. It has maintained the same ratios across all staff categories in the past three year period: Managers – 10 percent; Supervisors – 20 percent; and Motivators – 70 percent. All staff members have been employed on permanent basis except for 25 percent of workers who are hired on annual contract basis. The average staff turnover rate for the last three is 10 percent, which is higher than the average norm in local NGOs.

Sahara management believes in gaining competitive edge through its human resources. It not only provides relatively better service terms to its staff, but also introduces from time to time measures to enhance their productivity. It has recently approved a Productivity Enhancement Plan (new incentive schemes and change of technology) for the next two years, which is expected to raise staff productivity by 20 percent in 2008.

Sahara has recently approved its Strategic Plan for the next two -year period. The Plan projects considerable growth in the number of beneficiaries over the plan period. The growth targets for the next two years are as follows:

Year	Number of beneficiaries served
2007	9' 000
2008	11' 000

……. Activity Three

Staff Recruitment and Selection

Time: **Five Hours**

Why do this Activity?

This activity is designed to develop participants' understanding of and ability to plan and execute the most critical staffing function in the organization. It covers the concept and process of recruiting and selecting staff with the necessary procedures, techniques and formats to enable them to design recruitment and selection systems and make hiring decisions effectively.

Learning Objective

- Explain the concept and process of recruiting and selecting staff, design staff recruitment and selection functions in the organization, and recruit and select staff necessary for organizational performance following professional procedures.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 40 minutes

Presentation/ Illustration

Ask participants how do their organizations meet the need for more employees. Lead the discussion to the recruitment process as a core staffing function. Link it with human resource planning. Briefly explain the concept and process of recruitment with the help of materials given in Handout 2.3 using visuals.

Illustrate the main parts of the management of the recruitment function: recruitment policy, recruitment schedule, job advertisement, and application blank.

Step 2: 140 minutes bothering

Group Work

Ask participants from the same organization to form their small groups. Give them Assignment Sheet 2.3a. Ask them to prepare a recruitment policy and a recruitment schedule for their organization as well as a job advertisement for publication in a newspaper and an application blank for a position within their organization. They may make several assumptions for this task.

Plenary

Assemble the groups. Have each group present their outputs taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Summarize the key findings based on discussions.

Step 3: 30 minutes

Presentation/ Illustration

Ask participants how do their organizations select new employees from the list of applicants. Lead the discussion to the selection process as a core staffing function. Briefly explain the concept and process of selection with the help of materials given in Handout 2.3 using visuals.

Illustrate the main parts of the management of the selection function: selection policy, selection plan, selection committee, selection system design, and appointment letter.

Step 4: 90 minutes

Group Work

Have participants go into the same group as before. Give them Assignment Sheet 2.3b. Ask them to prepare a selection policy and a selection plan for their as well as prepare selection system design, and appointment letter for the same position for which they carried out the earliuer exercise. They may make several assumptions for this task.

Plenary

Assemble the groups. Have each group present their outputs taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

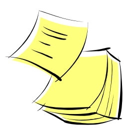
Summarize the key findings based on discussions.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.



Handouts

- Handout 2.3: Staff Recruitment and Selection
- Assignment 2.3a: Design of Recruitment System
- Assignment 2.3b: Design of Selection System

Handout 2.3

Staff Recruitment and Selection

The organization's successful human resource planning should identify its human resource needs. Once the organization knows these needs, it will want to do something about meeting them. The next step in the acquisition function therefore is recruitment and selection. These activities make it possible to acquire the number and types of people necessary to ensure the continued operation of the organization.

Recruitment and selection are the main methods of finding suitable people for jobs that are available in the organization. Hence they are critical functions of human resource management which contribute to ensure the availability of effective workforce in the organization. The cost of mismatch between people and jobs is very high. With proper recruitment and selection, the performance and productivity of staff can be raised up to 20 percent right from the start.

What is Recruitment?

Recruitment is the process of *generating a pool of suitable candidates for the available jobs and attracting them to apply for the jobs*. Its objective is to provide a sufficiently large number of qualified candidates so that satisfactory selections can be made. Recruitment should attract suitable candidates and also discourage unsuitable ones. It should also provide information so that unqualified applicants can self select themselves out of job candidacy; that is, a good recruiting program should attract the qualified and not attract the unqualified. These dual objectives will minimize the cost of processing unqualified candidates.

Objectives of Recruitment

- **Attract suitable candidates to apply**
- **Discourage unsuitable ones**
- **Provide job information**
- **Project organization image**

Recruiting is the process of *discovering of potential candidates for actual or anticipated organizational vacancies*. Or, from another perspective, it is a process of linking activity – bringing together those with jobs to fill and those seeking jobs.

Factors that influence recruitment efforts include:

- Size and image of the organization
- Attractiveness of the job
- Image of the organization
- Internal human resource policies
- Union and government requirements

Where to Recruit?

If the human resource plan of an organization suggests that there will be shortage of staff in future, it may be necessary to recruit people to fill in the jobs available. The recruitment program should be carefully planned after exploring some alternatives to recruitment such as outsourcing, internal redeployment, introduction of new technology, reorganization, seeking temporary help, and introducing overtime and flexible working hours. If these measures do not meet the requirement, then the organization should look for the employees needed from two sources: internal and external.

Internal source: Internal methods of recruitment include:

- Job posting (internal notice of vacancies)
- Skills inventories (searching the personal files)
- Referrals (from the present employees)

The benefits of filling open positions with inside candidates include: knowing their strengths and weaknesses; more accurate assessment of their skills than those of outsiders; may be more committed to the organization and less likely to leave; may increase morale; and may require less orientation and training.

The limitations of internal methods include: the employees may become discontented if they don't get the job; may lead to interviewing unsuspecting inside candidates when the manager knows who he/she wants to hire; and may lead to inbreeding.

External source: External methods of recruitment include:

- Job advertisement (news paper and electronic media; open and blind advertisement)
- Employment agencies
- Professional organization
- College/school recruitment

The benefits of filling open positions with outside candidates include: larger pool of potential candidates to choose from; and availability of fresh and better skills, ideas and abilities.

The limitations of external methods include: expensive and time consuming; loss of morale and motivation of existing employees; problem of adjustment in the organization; and more orientation and training needed.

How to Recruit?

The process of recruitment of new employees involves several steps including the following major activities:

- Formulation of recruitment policy (An example is given in Annex 2.3a)
- Preparation of job specifications of the vacant or the newly created position (Refer to the earlier session)
- Decision as to the source of recruitment - internal or external
- Selection of specific method of recruitment
- Preparation of recruitment schedule based on the above policies and decisions
- Preparation and publication of notice or job advertisement
- Preparation and distribution of application form/blank
- Collection of completed application form/blank
- Preparation of a list of applicants

Recruitment schedule: After making basic recruitment policies and decisions, the organization should prepare a recruitment schedule for all positions required considering the timing and nature of the planned programs and activities of the organization. The recruitment schedule specifies the job category and the number of positions to be filled, the time when the position should be staffed, the responsibility for the management of the recruitment efforts, the timings of various recruitment actions, and the potential sources and methods of recruitment. An example of the schedule of recruitments is given in Annex 2.3b.

Job advertisement or notice: It should be prepared carefully to attract the most eligible candidates while discouraging the unsuitable ones. The construction of job ad should follow the principle of attention, interest, desire and action (AIDA) meaning that it should get the attention of the targeted audience, arouse interest in the job offer, create desire to apply, and guide for what action to take for applying. It should contain:

- Attractive headline
- Brief description of the organization
- Outlines of the job (purpose and duties)
- Opportunities for advancement
- Job location
- Required and desirable qualification and experience
- Age limit
- Remuneration package
- Address for application/contact

An example of a job advertisement is given in Annex 2.3c.

Application blank: Application blank is a good way to quickly collect verifiable and fairly accurate historical data from candidates in order to short list them for further selection process. This also provides basic information of the selected candidates to feed into the organization's human resource information system. It should encompass:

- Personal details - name, age, address, next of kin
- Competency information - education, training, qualification, skills

- Career information – job history
- Personal and social circumstances - health records,
- Other relevant information

An example of an application blank is given in Annex 2.3d.

What is Selection?

Selection starts where recruitment ends. Recruitment generates a pool of candidates to choose from. Selection is about making choice. Selection is the *process of choosing from a pool of candidates the persons who are most likely to meet the criteria of the job*. It *matches people with jobs* and *predicts their future success on the job*.

Selection is important because if it is done properly and professionally it ensures high performance of employees from the beginning. It is important also from financial perspective. High cost is involved in recruitment and hiring of staff members, and if a wrong candidate is selected it creates a long-term liability for the organization, both in terms of poor performance and the organization's liability to pay for him/her during the entire period of the person's association with the organization. Selection also has costly legal implications if not properly handled.

Importance of Selection

- **High performance from the beginning**
- **High cost of recruitment and hiring**
- **Costly legal implications of incompetent hiring**

How to Select Staff?

The process of selection of employees involves several steps including the following major activities:

- Formulation of selection policy (An example is given in Annex 2.3e)
- Formation or activation of selection committee
- Preparation of selection plan
- Decisions on selection process (approach, methods and procedures)
- Administration of selection tests
- Selection decision

- Issue of appointment letter

Selection Committee: It is a good idea to form a selection committee for executing selection function, either on need basis or on a regular basis, by making necessary provision in Employee Service Rules/ Byelaws. In addition to the relevant directors or managers, including the one looking after human resource functions, it is advisable to include one or two relevant professional human resource or subject experts locally available. The committee should be responsible for preparing staff selection plan, designing selection package, administering selection procedures, and recommending for selection of the candidates.

Selection Plan: The selection committee should prepare a selection plan as given in Annex 2.3f for all positions required on the basis of the recruitment schedule and considering the requirements of the jobs as defined in job specifications. The selection plan specifies the job category and the number of persons to be selected, the responsibility for the management of the selection procedures, the timings of the selection process, criteria or dimensions for assessing the candidates with weights, and the methods of selection with weights.

Selection Process Design: This involves deciding on the selection methods/ predictors, the selection approach and the detailed procedures of the selection function. The main selection methods include:

- References from previous employers or prestigious persons
- Interviews (unstructured, structured and situational)
- Paper and pencil tests on the related knowledge domains
- Performance/ work sample tests related to job performance areas
- Medical examination
- Psychological tests (written or verbal)
  - Ability test
  - Aptitude test
  - Achievement test
  - Personality test
  - Interest/motivation test

Although several methods are available for selection, performance tests, structured or situational interviews, and psychological tests have been found to have high selection validity.

There are three approaches of selection: a. multiple -hurdle approach (eliminating unsuitable candidate at each step, useful when the number of applicants is large and the plan is to use a number of selection methods); b: compensatory approach (selection decision after evaluating candidates on all steps, useful when the number of applicants is limited and the plan is to use only a few selection methods); and c: hybrid process (a mix of both approaches).

A typical selection process involves: short listing of applicants based on the predetermined criteria, design and administration of selection tests, scoring the candidates, and making selection decisions. An example of this process is given in **Annex 2.3g.**

Appointment letter: After final selection decision, the authorized person should issue a letter of appointment to the selected candidate. An example of appointment letter is given in Annex 2.3h.

Annex 2.3a

An Example of Recruitment Policy of a Social Project

1. Recruitment is directed to attract the most eligible candidates, with necessary competencies and commitment, in sufficient number by providing timely and adequate information about the nature and timing of staff requirements in the Project, including the core aspects of the jobs to be performed.

2. Job availability is announced formally through the media that are most appropriate in relation to the nature of the positions, their location, and the targeted group of candidates. Unsolicited approach is generally discouraged unless the candidate is exceptionally suitable for the position. The Project, in some cases, may directly tap the most potential source to invite the candidates to apply for the available positions.

3. Job advertisements and/or notices are done professionally so as to attract more suitable candidates and discourage less suitable ones. All candidates should provide relevant information on the prescribed form to help the Project make initial selection decision and maintain staff information system in the Project.

4. Recruitment is decentralized as much as possible for the district- based staff. Similarly, the involvement and support of the Consortium members of the Project are sought in recruiting staff.

5. The Project seeks to avoid any form of discrimination in recruitment, and recruits people with focus on their competencies and suitability for the positions available. However, in line with the overall philosophy and focus of the Project, *Dalits* and women are actively encouraged to seek employment in all available positions with a view to increasing their number in the selection pool thereby enhancing their chances of being selected.

Annex 2.3b

An Example of Recruitment Schedule

Job for Recruitment		**Date for Filing Positions**	**Responsibility for Recruitment**		**Timing of Recruitment Efforts**		**Mechanisms for Recruitment**	
Position	Number		Administrative	Decision	Start by	Finish by	Sources	Methods

Annex 2.3c

An Example of Job Ad

Care for Community Health

Swasthya Bikas Sanstha (SBS) is a fast growing NGO working to create a healthy community in Lamjung since 2003. We now cover 12 VDCs and plan to cover the entire district by 2009 with an innovative community health program that mobilizes local people and resources. We are now looking for a dynamic and dedicated person to take the newly created position of **Health Manager** and be a partner in our growth.

The incumbent will manage and lead the community health program of SBS under the supervision of SBS Coordinator in a way that meets the strategic goal of the organization.

If you are able and motivated to

- Prepare annual plan and budget of overall health program,
- Supervise, monitor and evaluate health program and staff,
- Provide managerial and professional supports to health personnel,
- Coordinate with district-based health related agencies,
- Carry out health surveys and prepare reports, and
- Mobilize community for resource generation and program implementation,
- Manage people and non-people resources,

and possess

- BSc Nursing degree in Community Health or Bachelor degree in Public Health,
- Minimum three years experience in managing community health program,
- Demonstrated excellent managerial skills relevant to health management at the community level,
- Basic computer skills with ability to operate Word, Excel and Spreadsheet,
- Pleasant and sociable personality as well as patient, proactive, innovative, positive, people-oriented, and hard-working nature,

you are the person we are looking for. You must be within 21 – 35 age bracket. You will be based in the District Headquarters but will frequently visit in all parts of the district.

We offer a good remuneration package, above average in the similar sector, and excellent opportunity to grow in managerial career within the organization.

Please complete Application Blank available at SBS Head Office or in our website and submit on or before 31st March 2007 at 76H*swasthyabikas@gmail.com* or P.O. Box 20401 Kathmandu.

SBS is an equal opportunity employer.

Annex 2.3d

An Example of Application Blank

Application ID No. __________

ABC Project **APPLICATION FOR EMPLOYMENT**	Attach a recent passport size photo here.
Please type or print in black. Give clear, concise and complete information in each case as required. Read and follow carefully all directions. Use additional sheets if necessary.	
Position applied for: __________ _Source of information about the position: ____________________	

Personal Details

1. Title (check one) Mr/ Mrs/ Miss	Family Name __________	First Name __________	Middle Name ________	2. Sex (check one) Male/ Female

3. Date of Birth (in BS) Day Month Year	4. Nationality ____________	5. Citizenship Number ____________ Place of Issue ____________
6. Marital Status (check one) Single/ Married/ Separated	7. Father/ Husband Name __________ Address __________ Tel # __________	8. Person to Contact in Emergency Name ____________ Address ____________ Tel # ____________
9. Home Address ____________ Tel# ________	10. Contact Address (*if different*) ____________ Tel # ______________	11. Office Address (*for job holder*) ________________ Tel# ______________

E-mail ________	E-mail ________________	E-mail ________________

12. Are any of your relatives employed by ABC Project? Yes/ No. If Yes, give the following information.

Name	Relationship	Position

13. Do you have any personal, family or medical condition or restriction that may impact on or restrict the type of work (including field assignments) you have applied for? Yes/ No. If Yes, give the details below.

____

____

____

Competencies

14. Language Proficiency: A. Mother Tongue ______________________________

	Understand (check one)		Speak (check one)		Read (check one)		Write (check one)	
B. Other Languages	Easily	Not Easily	Fluently	Not Fluently	Easily	Not Easily	Easily	Not Easily
1.								
2.								

15. Educational attainments (maximum three degrees starting from the one below the minimum required)

Degree/ Level	Institution and Place	Study Duration	Grade or Division	Main Courses

16. Job-related and Professional Training (last three)

Training Program	Institution and Place	Training Duration	Skills and Knowledge Developed

Competencies con td.

17. Any other special professional and personal skills that are helpful for job performance (three major categories)					
Skills	Proficiency Level (check one)			How Acquired?	Where/ When Applied?
	Excellent	Good	Moderate		

Work Experience

18. Employment record (starting with your present/ latest job, describe last three full- time jobs you have had)				
A. Present/ Last Job: Position Title________________ From________ To ________				
Employer Name and Address	Type of Organization	Name of Supervisor	Annual Gross salary	Reasons for Leaving
Describe your work (in key words).				
B. Previous Job: Position Title________________ From____________ To ____________				
Employer Name and Address	Type of Organization	Name of Supervisor	Annual Gross salary	Reasons for Leaving
Describe your work (in key words).				
C. Previous Job: Position Title________________ From____________ To ____________				

Employer Name and Address	Type of Organization	Name of Supervisor	Annual Gross salary	Reasons for Leaving
Describe your work (in key words)..				
19. Do you have any objections to our making enquiries with your employers/ supervisors? Yes/ No				
If "Yes", explain.				

Other Relevant Information

20. State any other relevant facts that you think demonstrate your suitability and competence for the job you have applied for or influence its performance in some way.
21. What is your expected annual gross salary in the position that you have applied for?
22. If selected, how much time you will require to take up the position?
23. Write, in not more than 100 words, why you think you should be selected for the position?

I declare that the information given above is true, complete and correct to the best of my knowledge, and I understand that any false or dishonest representation of facts may lead to my dismissal.

Date ____________________ **Signature** ________________________

Please attach two reference letters and copies of certificates of the educational and training programs you have listed.

Annex 2.3e

An Example of Selection Policy of a Social Project

1. The Project has the policy of employing the best available persons for the jobs in the Project. For this, selection is made on the basis of the merit of the potential candidates. The merit is defined for each job with reference to the job requirements as identified in the concerned job profile and assessed through a battery of carefully chosen selection predictors (methods).

2. A professionally designed selection package is used for each job category to assess the potential candidates and make selection decisions. The package uses generally validated selection methods and systematic procedures. It is designed to assess entry job competence and knowledge, relevant professional and work experience, commitment and motivation to perform the type of the work required in the job, and awareness of and commitment to the *Dalit* issues and agenda.

3. Regardless of the source of recruitment, the same selection package is used for all potential candidates in the same job category.

4. Selection is decentralized as much as possible for the district- based staff. Similarly, the involvement and support of the Consortium members of the Project are sought in selecting staff.

5. In line with its overall philosophy and focus, the Project in general adopts a policy of positive bias towards the selection of *Dalits* and women from among the equally eligible candidates. This policy does not preclude the competent non-*Dalit* and male candidates from being employed in the Project. The Project also encourages to some extent diversity in its work force.

Annex 2.3f

An Example of Selection Plan

Job for Selection		**Responsibility for Selection**		**Timing of Selection Process**		**Assessment Dimensions***		**Selection Methods^**	
Position	Number	Administrative	Decision	Start by	Finish by	Dimension	Weight	Method	Weight

*** To be derived from job specifications as defined in job profiles of the concerned jobs**

^ To be identified considering the assessment dimensions

Annex 2.3g

An Example of Selection Procedures of a Social Project

Selection Approach

Selection takes place in two phases. Phase one involves preliminary screening in which the applicants are short-listed. In the main selection phase the short-listed candidates are assessed through a battery of selection methods.

The first phase involves a hurdle approach in which the less eligible candidates are screened out. In the second phase a compensatory approach is used in which all the short-listed candidates are taken through all the selection tests and final judgment is made on the basis of their aggregate performance on all the tests.

Short Listing of Applicants

Short-listing is done on the basis of merit and positive discrimination factors. The various factors included in the application blank receive the following weights:

1.	Personal and social circumstances	.1
2.	Job competencies	.3
3.	Job experiences	.3
4.	Other relevant factors	.1
5.	*Dalits* and women	.2

The Project may assign internal weights to the various sub-factors within each major factor depending on the nature of the job. It develops a rating scale to assign scores for each merit factor taking into account the relationships between the merit factor/ sub-factor and the nature and requirements of the job. For example, relevant additional educational degree while meeting the minimum educational qualification specified for the position may be given 80 – 100 percent score for this sub-factor considering the grades, whereas the minimum educational qualification may be assigned 70 – 80 percent score.

Each applicant is rated on the merit and positive discrimination factors using the prescribed form. All applicants are then ranked in descending order. The candidates are short-listed by choosing the highest ranking persons in the list.

The number of the candidates in the short-list is determined as follows: one – two positions to be filled: five times the number of positions; thee – four positions to be filled: four times the number of positions; and five or more positions to be filled: three times the number of positions

Battery of Selection Tests

The short-listed candidates go through a rigorous selection procedure in the second phase. The core aspects of this phase are the identification of assessment dimensions (selection criteria) and selection tests with their relative weights. Depending on the nature of the job, both these selection factors may vary across various job categories.

The key assessment dimensions and the principal selection tests for all jobs may include:

Assessment Dimensions	**Weight**
1. Job competencies (professional and sectoral) - Job knowledge - Job skills	.35
2. Job experiences (professional and sectoral) - Similar job experience - Relevant job experience	.2
3. Personal competencies and attributes - Commitment and motivation (with respect to the job and the sector) - Interpersonal and communication abilities - Personality: adjustability, maturity and confidence - Positive personal orientations and attitudes	.25
4. *Dalits* and women	.2

Selection Tests	**Weight**
1. Paper and pencil test (including subjective and objective test items covering professional and sectoral issues related to the job)	.25
2. Group discussion (on relevant issues related to professional and sectoral aspects of the job)	.25
3. Work sample test (covering one or more core tasks to be performed in the job)	..25
4. Semi- structured interview (by a panel on personal, professional and sectoral issues related to the job)	.25

It is the responsibility of the Selection Committee to choose the specific selection criteria and tests to be administered within the broad guidelines given here. It determines and defines the assessment dimensions on the basis of job profiles of the concerned jobs and the criteria included here. It then chooses and designs the selection tests to match the selection criteria based on the tests suggested here.

In choosing the tests the Committee uses the selection matrix as prescribed below. The basic principle here is that each assessment dimension is assessed by at least two selection tests, which means that each candidate is assessed on a particular dimension at least twice using two different tests. For example, job knowledge is tested by two tests: paper and pencil test and semi-structured interview.

Selection Matrix

Selection Tests Assessment Dimensions	Paper and Pencil Test	Group Discussion	Work Sample Test	Semi-structured Interview	Other
1. Job competencies					
- Job knowledge	√			√	
- Job skills	√		√		
2. Job experience					
- Similar job experience	√			√	
- Relevant job experience	√			√	
3. Personal competencies and attributes					
- Commitment and motivation		√		√	
- Interpersonal abilities		√		√	
- Personality		√		√	
- Positive attitudes		√		√	
4. Other					

The implication of the selection matrix is that the identified dimensions should be assessed by the corresponding tests, which means that the tests should be designed so as to assess the corresponding dimensions. It calls for a professional approach to designing the selection tests. In designing and administering the selection tests, the Committee may seek professional inputs from external specialists on need basis.

Selection Decision

Selection decision is made by ranking the candidates on the basis of both merit and positive discrimination factors. The ranking is done combining the scores of the candidates on the selection tests with the scores given to them on the basis of the positive discrimination factors. For this purpose the Selection Committee uses the form prescribed.

After adding up the total weighted scores, the candidates are ranked in descending order and the highest ranking candidates are selected in required number.

Form for Short Listing Applicants

S. No.	Merit Factor Applicant Name	Circumstance (.1)*			Competence (.4)*			Experience (.4)*			Other Factors (.1)*			Total Score (1)*
		SF 1	SF 2	SF 3	SF 1	SF 2	SF 3	SF 1	SF 2	SF 3	SF 1	SF 2	SF 3	

- *The figure indicates weight given to the related criterion.*

Form for Selection Test Scoring

Dimensions	Job Competencies				Job Experience				Personal Attributes				Dalits and/ or Women		Total Score
Name of Candidates	Test 1 Score (100)	Test 2 Score (100)	Wtd. Av. Score (1+2)/2x.25	Wtd. Total Score (Av x .35)	Test 1 Score (100)	Test 2 Score (100)	Wtd. Av. core (1+2)/2x.25	Wtd. Total Score (Av x .2)	Test 1 Score (100)	Test 2 Score (100)	Wtd. Av. Score (1+2)/2x.25	Wtd. Total Score (Av x .3)	Score (100)	Wtd. Total Score (Sc x .2)	Total of Wtd. Scores (100)

Annex 2.3h

An Example of Appointment Letter

December 31st, 2006

Mr. Kumud Singh

Kuleshwor, Kathmandu

Nepal

Subject: Offer of Appointment on Contract – DCPL/2007/CON.022

Dear Mr. Singh,

We are pleased to offer you appointment with this organization, subject to the following terms and conditions:

Title of the Job

Your functional title shall be Health Coordinator.

Job Responsibility and Reporting

You shall be reporting to the Project Manager. The scope of work shall be as stated in the attached Job Description statement. You shall carry out the instructions given to you by your superiors diligently and satisfactorily, in the sole interest of the Project. You will also be required to abide by all rules and regulations outlined in the Employees' Rules and Procedures.

Tenure

This Contract shall come into effect upon your acceptance of the terms and conditions and from the date of reporting to duty. You shall be required to report to duty no later than January 10th 2007. The contract expires on January 9th 2009.

Stipend

You shall be paid a consolidated stipend of Rs.15, 000 per month (Rs.12,000 basic + Rs.3,000 benefits). All stipends and cash incentives paid to you shall be subject to income tax as per prevailing rates.

Working Hours

You shall work a minimum of 8 hrs a day from 10 am to 6 pm and six days a week.

Public Holidays and Leaves

You shall be entitled to all the public holidays published by the management and that fall during your tenure with the company.

Termination/Suspension

Your contract with the company may be terminated/suspended under the following conditions:

- Committing any misconduct as per Employees Rules and Regulations for which you shall be terminated with immediate effect.
- Not performing as per criteria laid down, one-week notice shall be served from the management.
- Upon serving written notice of termination in advance of two weeks by either party or by foregoing two weeks remuneration in lieu of notice or,
- In case you are absent from the job without notice and permission from your supervisor for a continuous period of five days, you shall be terminated with immediate effect. Health reason should be justified with medical report from a doctor.
- In case you are charged with any act of misconduct you may be suspended from the service pending enquiry. During the period of suspension you shall not be entitled to any benefits.

With best wishes,

Yours truly,

I have carefully read and understood the terms and conditions mentioned above. I have accepted all the terms and conditions of this contract for training. I shall join the organization on ____________________________.

SIGNATURE______________________ **DATE**_____________________

Assignment 2.3a

Design of Recruitment System

Form small groups of participants of your own organization. Prepare in the group the following recruitment related documents for your organization:

- Recruitment policy
- Recruitment schedule
- Job advertisement for a position for publication in a newspaper
- Application blank for the same position.

Follow the principles and formats as illustrated during the discussion in the session. You may make several assumptions for this task.

Assignment 2.3b

Design of Selection System

Go into the same group as before. Prepare in the group the following selection related documents for your organization for the same position:

- Selection policy
- Selection plan
- Selection committee
- Selection system design (method, approach, criteria etc)
- Appointment letter.

Follow the principles and formats as illustrated during the discussion in the session. You may make several assumptions for this task.

……….Activity Four

Orientation to New Staff

Time: Two Hours

Why do this Activity?

This activity helps to understand the concept and purpose of orientating new employees in the organization. It is also designed to develop orientation program for conducting orienting new employees.

Learning Objective

- State the meaning and importance of orientation of new staff and prepare an orientation schedule to orient the newly hired employees.

How to do the Activity?

Note	Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 30 minutes

Presentation/ Illustration	Ask participants how do their organizations receive new employees. Lead the discussion to the concept of staff orientation. Explain the meaning, purpose and process of orientation with the help of materials given in Handout 2.3 using visuals.

Show the examples of orientation checklist and schedule as given in Annexes 2.4a and 2.4b.

Step 2: 60 minutes

Group Work

Ask participants from the same organization to form their small groups. Give them Assignment Sheet 2.4. Ask them to prepare a n orientation schedule for implementing orientation program for newly hired employees in their organization.

Plenary

Assemble the groups. Have each group present their outputs taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

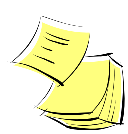
Summarize the key findings based on discussions.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.



Handouts

- Handout 2.4: Orientation of New Staff
- Assignment 2.4: Preparation of Orientation Schedule
-
-

Handout 2.4

Orientation of New Staff

Selection or hiring employees results in new people joining the organization. As they are new, they experience some difficulty, uneasiness or stress as they start on their job. It is the responsibility of the organization to ease them into the job and the organization giving them a feeling of comfort and confidence so that they can start their job effectively. This is the function of orientation.

What is Orientation?

When a new employee enters into the job of an organization he/she needs orientation. Orientation is *a process of providing new employees with basic background information about the organization and the job required for effective performance and satisfaction*. Orientation covers the activities involved in introducing a new employee to the organization and to her/his work unit. It expands upon the information received during the recruitment and selection stages and helps to reduce the initial anxiety we all feel when we first begin a new job. For example, an orientation program should familiarize the new member with the organization's objectives, history, procedures, and rules; communicate relevant personnel policies such as hours of work, pay procedures, overtime requirement and fringe benefits; review the specific duties and responsibilities of the new member's job; provide a tour of the organization's physical facilities; and introduce the employee to his or her superior and coworkers. But in many social organizations the management gives low priority for orientation.

Orientation is the critical part of organizational socialization that helps new employees identify themselves with the organizational systems and culture while adapting to its requirements. This way, they become part of the organization and are better able to make contributions to the organization.

Why Orientation?

Employee orientation is as much about creating an impression as it is about providing information and confidence to cope with the new situation and perform well from the beginning. It serves the following purposes:

- Reduce the initial anxiety and apprehension and prepare new employees psychologically ready for performance.

- Equip them with the information about work, working culture, expectation, and relationship with others.
- Support them during this difficult period and help them become fully integrated into the organization as quickly and as easily as possible.
- Provide them with necessary motivation to adjust to a new work environment and to encourage the development of loyalty and enthusiasm towards the organization
- Enable them to settle into the organization quickly and become productive and efficient members of staff within a short period of time.
- Ensure that they are highly motivated and that this motivation is reinforced.
- Ensure that they operate in a safe working environment.
- Reduce costs associated with repeated recruitment, training and lost production.
- Make them feel welcome to and valued members of the organization.

How to Conduct Orientation?

The best new employee orientation:

- has targeted goals and meets them
- makes the first day a celebration
- involves organization's family as well as co-workers
- makes new hires productive on the first day
- reduces anxiety of new comers
- is providing information on "what should and should not be done"
- is not boring, rushed or ineffective
- uses feedback to continuously improve
- is all about for better organizational performance

Who is responsible for orienting the new employee? This can be done either by the supervisor of new employee, by the people in administration or personnel or combination of those. In many medium sizes and most large organization, the personnel department takes charge of explaining such matters as overall organizational policies and employee benefits. In other medium sized and most small organization, new employee will receive their entire orientation from their supervisor. In most of the small organizations, orientation may mean the new member report to her/his supervisor, who then assigns the new member to another employee who will introduce her/him to those persons with whom he/she will be closely working. This may then be followed by a quick tour to show her/his where the library, toilets, canteen, then the new employee is shown his/her desk and left him/her in the permanent place.

A checklist for designing an orientation program is given in Annex 2.4a. An example of an orientation schedule is given in Annex 2.4b.

Annex 2.4a

Checklist for Designing an Orientation Program

1.	**Statutory requirement**	
	a. Relevant legislation	
	b. Health and safety	
	c. Organisation	
	d. Environment	
	e. Equal Opportunity	
	f. Harassment	
	g. Drugs and alcohol	
	h. Organisational structure and chart	
2.	**Welcome to the team**	
	a. Meet the executives	
	b. Meet the management	
	c. Meet the administration	
	d. Meet colleagues	
	e. Meet Finance person	
	f. Meet program team	
	g. Canteen and other facilities	
	h. Dresses and get ups	
3.	**Geography and Logistics**	
	a. Where the offices are located	
	b. Program run districts	
	c. Access requirement	
		➢ Security in the office
		➢ After before office hour access
		➢ Access to key
	d. Phone policy and use	
	e. Stationeries and supplies	

f. Transport facility
g. Email and internet facility
h. Library facilities
i. Public holidays
j. Office time
➢ Starting time
➢ Breaks
➢ Finishing time
➢ Overtime
➢ Weekend
4. Administrative procedures
a. Payment system
b. Loan and advance
c. Leave
I. Annual leave
II. Sick leave
III. Casual leave
IV. Leave without pay
V. Study leave
5. Meet the team
a. Supervisors
b. Executive team
c. Management team
d. Other Support staff
e. Role defined
f. Relationship defined
g. Regular communication with team (arrange meeting with field or head office team)
6. Opportunity to questions
a. Who to ask?
b. How to ask?
c. Unanswered questions

	d. Confidentiality in the organization
	e. Organizational culture
7.	**Opportunity to express opinions**
	a. Supervisory meeting
	b. General Meeting
	c. E-mail discussion
8.	**Organisation's expectation**
	a. Targets
	b. Achievement
	c. Budget
	d. Performance standard
	e. Performance review
9.	**Reward systems**
	a. Probation period
	b. Review period
	c. Promotion
	d. Training opportunity
	e. Gratuity
10.	**Communication process in the organization**
	a. Notice board
	b. Master file
	c. Special meeting
	d. Staff Meetings
	e. Corporate discussion among department
	f. Periodic and annual reports
11.	**Coaching and learning**
	a. Training
	b. Refresher training
	c. Periodic Orientation
	d. Workshop and seminars

12.	**Monitoring and evaluation**
	a. Regular report
	b. Supervisory practices
	c. Mid term review
	d. Final evaluation of the program

Annex 2.4b

Example of an Orientation Program

New employee:	Laxmi Rana
Jo Title:	Nursing In charge
Department:	Community hospital
Date:	2007 January 25, Thursday

	Activities	Time
1	Bindu will meet Meet Ms. Samjhana Dewan in HRD section	09:20 – 09:30
2.	Samjhana will: Provides organization brochure describing history, mission, vision, goals, objectives and activities of the organization. Describe and review the organizational structure Review and discuss personnel policy and practices. Discuss about organizational culture (dress, communication channel, participatory practices etc.). Inform what personal information is required like health check up, etc.	09:30 - 11:00
	Tea Break	11:00 – 11:15
3.	Bindu will meet her supervisor Sanjaya Karki (Admin. Officer) Sanjaya will: Review the Admin. Structure and inform where Bindu will be working, who to report. Go through the job description and explain the role, authority and responsibility of Bindu in Admin Section. Visit archive, inform about communication system. Introduce with other staff in Admin Section, show the working desk of Bindu.	11:15 – 12:30
4.	Bindu will be introduced with other staff in Admin section and discuss about her working relationship with other team members.	12:30 – 01:00
	Lunch Break (Have lunch with team members)	01: 00 - 02:00
5.	Bindu will meet the Finance Manager Ms. Radhika Roka Radhika will: Describe the salary payment system, benefits, Banking procedure for opening personal account. Explain about tax system, Provident fund. Describe the budgeting system and role of budget holder	02:00 – 03:30

	since Laxmi is responsible for developing, monitoring the budget of her department. Processing of required bills and voucher in the account department and what account office expects from the department in charge.	
	Tea Break	
7.	Laxmi will recall all the orientation	03:30 – 05:00
Date:	**2007 January 26, Friday**	
1.	Laxmi meets her Line Manager Dr. Namrata Limbu in Dr's office Dr. Namrata welcomes Laxmi in the former's office. Familiarize each other including family background and previous work Starts explaining the organ gram of community health department and indicate where Laxmi will be located, Who is she accountable for, How many staff she has to supervise. Explain the approaches and process of community health in that area (Out reach clinic, support to the government structure, technical support, training to the government employees, Physical and medicine support, Referral system Provides annual report to read Allow questions to Laxmi. Organize meeting with other staff in the community health department and have lunch together. Fix the time for tomorrow morning for clinical observation. 27th January 2007 Laxmi takes over the in-charge in the community health department.	09:30 – 12:30

Assignment 2.4

Orientation of New Staff

Form small groups of your organization's participants. Prepare in the group an orientation schedule for running an orientation program for newly hired employees. You may make appropriate assumptions for this task.

Unit THREE

Managing Staff Performance

Introduction

This unit addresses the issue of how to ensure effective performance from people in the organization by designing and adopting performance-inducing systems and practices. It includes performance planning and appraisal systems, and performance support practices such as motivation, problems handling, and employee relations.

Learning Objectives

After completion of all the activities and study materials of the unit, participants will be able to:

- Describe the concept and components of performance management and its importance in getting effective results from people;
- Design and implement performance planning and appraisal systems for effective performance by staff members; and
- Create and manage performance support systems and practices for maintaining and enhancing staff performance.

Structure and Timing

Activity One: Overview of performance management system (One hour)

Activity Two: Planning and appraising staff performance (Five hours)

Activity Three: Performance support systems (Two hours)

Total Time: Eight hours

..........**Activity One**

Overview of performance management system

Time: **One hour**

Why do this Activity?

This activity helps to understand the concept and importance of performance management in the context of NGOs.

Learning Objective

- Describe the concept and components of performance management and its importance in getting effective results from people.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 15 minutes

Presentation and discussion

Refer to the conceptual framework of human resource management functions as discussed in Unit One and highlight the need for managing performance of employees for better organizational performance.

Ask participants what kinds of staff performance practices and systems do they have in their organizations. Have a general discussion on performance management practices in NGOs.

Step 2: 45 minutes

Case Discussion Divide participants into mixed groups of 3-4 persons each. Give them Assignment Sheet 3.1. Ask them to analyze the case.

Plenary Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

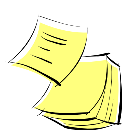
Presentation and discussion Summarize the key findings based on discussions. Briefly explain the concept of performance and as well as the components and importance of performance management using the materials given in Handout 3.1 with the help of visuals.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 3.1: Overview of Performance Management System
- Assignment 3.1: *Swasthya* Not Working Well

Handout 3.1

Overview of Performance Management System

Importance of Performance and Its Management

Organizations survive primarily on the basis of their employees' performance. When employees achieve high levels of performance, the organization thrives, but when their performance is poor, the organization suffers. This is as true for any organization. The planned organizational outcomes of an NGO will be achieved only when all the staff members put up good performance. Managers in NGOs must therefore know how to manage performance of their staffs and volunteers.

The effective management of staff performance is probably one of the major problems now facing NGO managers in view of the fact that most of them are now under pressure to maintain and improve outputs relative to the available resources. NGO managers face a major challenge of meeting the ever growing needs of the communities with the limited resources. It is only with the improved performance of organizational members that they can hope to meet those needs. For this reason, it is important that they develop an understanding of the basic principles and processes as well as learn the techniques of managing staff performance.

Concept of Performance

Staff performance is traditionally understood in terms of an employee's conformance to organizational norms and rules. For example, if a staff member regularly arrives at the office on time, he/she is often perceived as being a good performer. Similarly, performance is also viewed as the traits, personal characteristics and competencies of the performer. For example, organizational loyalty or accounting skills of a staff member are often treated as examples of good performance. Such conforming behaviors, personal traits or competencies are not performance; they are the conditions that influence performance. This may be described as an input- oriented concept of performance as the personal traits or conforming behaviors are the inputs for performance.

Concept of Performance

- **Traditional concept: conformance to organizational norms and rules.**
- **Modern concept: outcomes produced on a specified job during a specified period of time.**

The modern view of performance places stress on output or result. Performance is *the achievement of objectives, outputs or results of a job or a position*. It is *a set of outcomes produced on a specified job during a specified period of time*. For example, the performance of a health worker may be defined in terms of how many patients he/she treated or how many couples he/she counseled during a specified period of time. For effective management of performance, one should take this result or output-focused view of performance.

Performance Management Concept

The best way of understanding performance management is to view it as *a managerial process of getting better results from employees*. In this process both *the supervisor and the employee are continuously involved in planning, developing, evaluating and reinforcing performance of the employee within the framework of organizational objectives*.

As a management system, performance management involves:

- Agreement on key performance objectives of individual employee or the team;
- Identification and development of competencies for their achievement;
- Provision of necessary supports and resources for performance;
- Evaluation of and feedback on performance against the set objectives;
- Diagnosis and handling of performance problems; and
- Rewards for the results achieved and corrective actions for failing to achieve the objectives.

Performance management provides a practical framework for ensuring better results from employees while developing and rewarding them for their performance. What is more, it links individual or group performance with the organizational goals by breaking them down into individual or group performance targets. This way each individual employee or team is made accountable for specific outputs. It will enhance their sense of contribution to achieving the goals of the organization.

Performance management is based on the simple proposition that when people know and understand what is expected of them, and have been able to take part in forming those expectations, they can and will perform to meet them. Research evidence suggests that people can and will perform better when they:

- Know and understand what is expected of them (performance targets).

- Have been able to take part in forming the goals (participation and involvement).
- Get supervision, supports, and resources (enabling conditions for performance).
- Get feedback on their performance (performance appraisal).
- Are enabled to achieve the goals (development of staff).
- Have positive consequences for performance (rewards for achievement).

The existing management practices in NGOs do not provide for most of these conditions necessary for effectively managing staff performance. For example, there is no practice of translating organizational goals into individual or team performance targets by making each employee accountable for specific results. As a result, there is little understanding of how individual contributions are linked with the overall performance of the organization. There is no built-in scope for employees' involvement in setting performance goals or planning work activities for achieving them. Similarly, the practices of identifying competencies in relation to the set performance targets and developing them, providing enabling work environment for effective performance, and rewarding good performance are not institutionalized. The absence or limited availability of these critical performance conditions explains in a large measure the low level of staff performance in NGOs at present. It needs to be corrected. A well-designed and carefully executed performance management system will help do it.

Components of Performance Management Cycle

The formal system of managing staff performance consists of several components as illustrated in the following figure. As can be seen the components are interrelated to each other in a kind of a specific pattern, which may be described as performance management cycle (PMC).

PMC involves the following main components or steps:

- Planning performance
- Maintaining performance
- Diagnosing and handling performance problems
- Appraising performance
- Developing staff for performance
- Rewarding performance

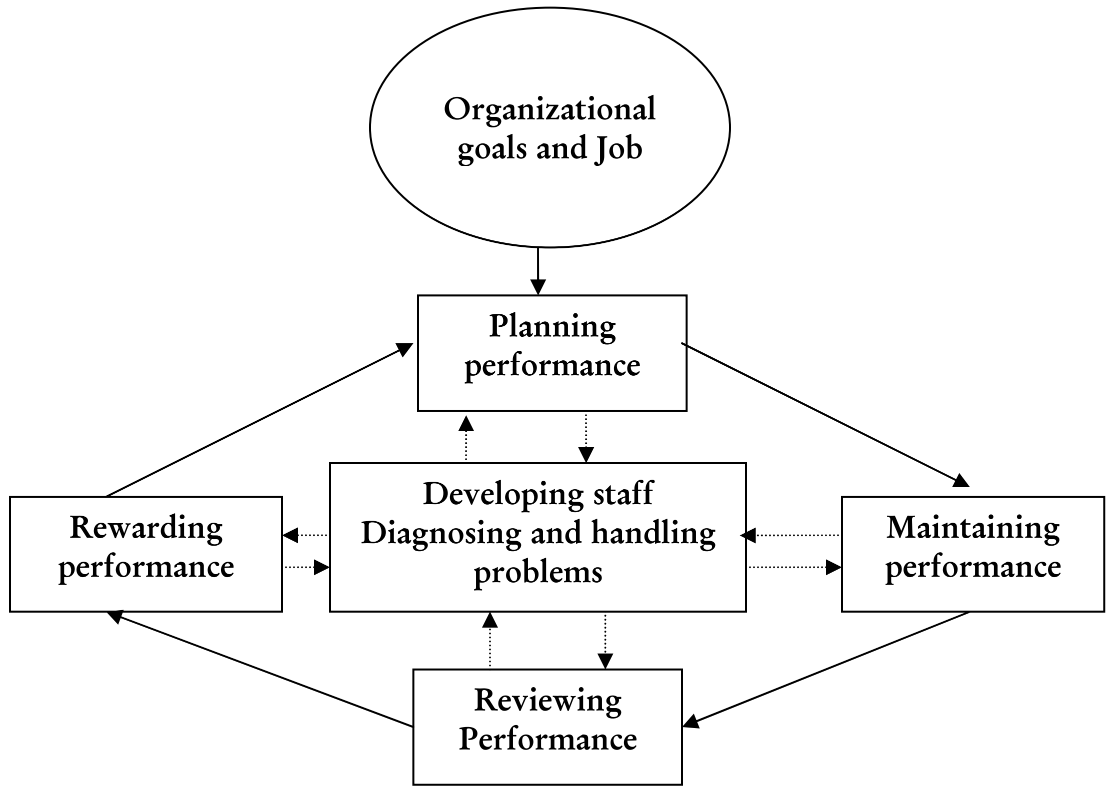


Fig. Performance Management Cycle

The performance management process begins with the formulation and/or full understanding of organizational and departmental goals. Similarly, it is important that job descriptions and specifications are prepared for all concerned employees. These two conditions must be met for implementing performance management system in any organization.

Assignment 3.1

Swasthya Not Working Well

Read the case given below carefully. In the assigned group, discuss the case and be ready for presentation in the plenary.

Swasthya is an NGO with the mission of making community healthy for development. It has 27 staff members and about a dozen volunteers, most of them health related personnel but also some community volunteers. It has annual targets related to certain health outcomes for the community.

Three years after its operations, an evaluation was carried out. It showed that *Swasthya* has not been able to make much effect on the health status of community. A major reason for this was identified as unsatisfactory performance of its staff members.

When asked to staff members and managers, several things came up. Most staff members did not agree that their performance was low. They said that they had no idea about the level of performance expected of them. "We have not been told just exactly what should we achieve," many of them told. They have also not received any feedback about how well they were performing. Managers told that although they are supposed to evaluate work of their team members, but due to heavy work pressures, they have done t just once in the last three years, that too only ritually.

Many staff members told that there were not much supervisory and other supports when they had difficulty doing their tasks. In such cases, they just abandon the tasks or complete them whatever way they could do them. A few staff said that they had difficulty performing the tasks as they did not have necessary skills. "We have not been given any training to develop our ability", many of them said. There are a few really good workers and they performed very well for the first two years. But it seems they are also not doing well now as their good performance went unnoticed and unrewarded.

Questions for Discussion

1. What are the causes of low performance in this case?
2. What factors of performance management system are involved and how are the being managed?
3. How performance in the organization can be improved?

……….Activity Two

Planning and Appraising staff performance

Time: **Five hours**

Why do this Activity?

This activity focuses on the two most critical components of performance management systems. It develops understanding of and ability in planning and appraising performance of staff members in the organization as a basis for managing their performance.

Learning Objective

- Design and implement performance planning and appraisal systems for effective performance by staff members.

How to do the Activity?

Note

Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 30 minutes

Presentation/ Illustration

Ask participants what kinds of performance goals are given to staff members and how they are set in their organizations. Lead the discussion to the concept and process of performance planning. Explain the purpose and process of performance planning with the help of materials given in Handout 3.2 using visuals. Show examples of the different steps of goal setting.

Show the examples of partial illustration sheet and format of performance goal setting as given in Annexes 3.2a and 3.2b.

Step 2: 90 minutes

Group Work Ask participants from the same organization to form their small groups. Give them Assignment Sheet 3.2a. Ask them to prepare a performance plan for one year period based on the job description of the position they have prepared earlier and using the format of performance plan given.

Plenary Assemble the groups. Have each group present their outputs taking their clarify, comment, and critique each others findings.

Summarize the key findings based on discussions.

Step 3: 30 minutes

Presentation/ Illustration Ask participants how staff performance is appraised in their organizations. Lead the discussion to the concept and process of performance appraisal. Explain the purpose and process of performance appraisal with the help of materials given in Handout 3.2 using visuals. Show examples of the different steps of performance appraisal.

Show the examples of formats of performance reporting, feedback and appriasal as given in Annexes 3.2c, 3.2d, 3.2e, 3.2f, 3.2g and 3.2h.

Step 4: 150 minutes

Group Work Ask participants to work in the same groups as before. Give them Assignment Sheet 3.2b. Ask them to complete as much as possible the relevant monthly progress report, feedback, and appraisal forms for the position for which they have prepared performance plan using the formats given.

Plenary Assemble the groups. Have each group present their outputs taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

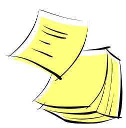
Summarize the key findings based on discussions.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.



Handouts

- Handout 3.2: Planning and Appraising Staff Performance
- Assignment 3.2a: Performance Goal Setting
- Assignment 3.2b: Performance Appraisal

Handout 3.2

Planning and Appraising Staff Performance

Planning Performance

The first major component of Performance Management Cycle (PMC) is planning performance of individual staff or team. This basically involves *setting performance targets or standards jointly with the concerned staff, communicating them to the staff, developing their understanding of the set targets or standards, and preparing work plan for the achievement of the targets or standards*.

The core part of planning performance is the performance goal setting process. It involves *identification of and agreement on specific performance targets or standards for individual staff members or team as well as outlining of activities, resources and timings for their achievement*.

Performance Planning Process

The process of performance goal setting involves four major steps.

Identification of key result areas (KRAs): Key Result Areas (KRAs) are the priority areas of performance in which significant outputs or results are to be achieved. KRAs should be identified by analyzing the organization or unit goals and job descriptions of the concerned staff or team. For the job of health education assistant, for example, two KRAs could be "*health awareness of the community*" and "*IEC/training materials preparation*". For each job, one should identify three to five KRAs for the purpose of setting performance targets or standards.

Identification of performance measures or indicators: They are the criteria against which performance of the job holder can be measured to determine effectiveness. Measurement of performance can be done in terms of quantity, quality, time,

Performance Planning Process

- **Identification of Key Result Areas (KRAs)**
- **Identification of Performance Measures**
- **Setting of Performance Targets or Standards**
- **Preparation of Work/ Activity Plan**

or cost. For each KRA, one or more such indicators should be identified. For example, some indicators for the first KRA (i.e. health awareness of the community) of the job of health education assistant could be: *number of families covered by IEC programs* (quantity indicator); *percentage of the targeted families adopting safe health practices* (quality indicator); *average cost per family covered by IEC programs* (cost indicator); *average time taken to plan and deliver an IEC program* (time indicator).

Setting of performance targets or standards: Performance targets are the outputs an employee is responsible for during a given period of time. Standards are the levels at which an employee is expected to perform. Both are the results to be achieved in a job. Performance targets can be set by putting a numerical value on the identified indicators. For example, a performance target for a health education assistant could be: *organize family health education programs for 200 families in the current fiscal year; average cost per family not exceeding Rs. 100 and 80 percent of the families covered adopting safer health practices* (note that certain numbers are placed on the three indicators as performance targets). Standards can be set by specifying exact norms or levels of performance. For example, for a village health worker, a performance standard could be: *three visits in each ward every week*. Standards are particularly useful in case of such jobs where setting performance targets may be difficult because of the routine nature or very limit responsibility.

Preparation of work/ activity plan: It is a detailed schedule that identifies what are the activities that need to be carried out and when they should be completed for achieving the set performance targets or standards. It is a guideline for performance for the employee and also a monitoring and supervision tool for the supervisor. The work plan if prepared carefully will serve as a performance contract between the employee and the supervisor.

Annex 3.2a presents a format for preparing performance plan and Annex 3.2b gives a partial illustration of performance plan for a staff.

Guidelines for Setting Performance Targets and Standards

It is important to follow a number of principles and procedures for setting performance targets.

- Performance targets and standards should be developed in consultation with the staff member or team in question. For this, the manager should meet with the concerned members, review office goals and job descriptions of staff members, review their past performance, assess their competencies in relation to the job responsibilities, and identify skills they will need.

- Performance targets should be relatively few in number and related to KRAs. Staff should be able to achieve them through their own efforts. They should be challenging yet attainable.

- They should be specific, quantified where possible, qualitative where appropriate, and written in action oriented terms. They should state a realistic time-frame in which they are to be accomplished.

- They should be accompanied by a work plan that specifies steps for achievement and required resources for their accomplishment.

- They should be consistent with organizational and sub-unit objectives.

- They should be reviewed on a timely basis by both the subordinate and the manager.

Appraising Performance

The next important component of PMC involves evaluating performance of employees and giving performance feedback to them. Research evidence suggests that without appraisal and feedback, employees will not have information about how well they are doing in relation to their performance targets and how they can improve their performance in future. Appraisal also gives information for managers to decide on what supports and rewards should be given to those employees who are doing well in their jobs.

Performance appraisal is a process of *determining how well employees do their jobs compared to a set of performance targets or standards and discussing with them about their performance and conditions influencing it, so as to improve performance in future*.

Purposes of Appraisal

Appraisal serves mainly two purposes:

- Evaluative/ administrative purpose - such as personnel decisions (promotion, transfer, discipline, retention); motivational decisions (rewards, grades, incentives); and validation of staff selection and development programs.

- Developmental purpose - such as assessment of personal/ professional competency and potential; identification of development needs; and development decisions.

Process of Appraisal

A number of steps are involved in the appraisal process:

Deciding what to appraise: Mainly three aspects of performance can be appraised – personal traits or qualities of the performer such as loyalty, job knowledge, discipline and honesty; behaviors demonstrated in performing the job such as timely decision making, effective supervision, and accurate communication; and job results or outputs such as organization of three awareness programs. From the perspective of performance management, the job outputs are the most important aspects for appraisal. A better approach is to combine them all with greater weight given to output factors for appraising performance.

Deciding how to appraise: This involves the development of a system of appraisal consisting of performance measurement criteria (as suggested above), appraisal forms with rating scales and post-appraisal recommendations, identification of appraisers and relative weights given to them for appraisal, timing and frequency of appraisal, mode of performance discussion and feedback giving, and formal documentation and reporting of appraisal.

Collecting necessary information for measuring performance: This is part of the regular supervision process. But for effective measurement of performance, it is important that some kind of regular information flow about the progress on performance is maintained. For example, a monthly work progress report may be used to collect information from each employee about the progress against the set targets.

Collecting feedback about performance from other relevant sources: It is a good idea to collect feedback from work colleagues and even from the customers/ beneficiaries of the services of the concerned employee or team. This is called 360 degree feedback or appraisal system and is a powerful approach to improving performance.

Comparing performance with the set targets or standards: This will reveal how well the employee has been doing or not doing. Performance gaps or achievements then can be identified.

Discussing performance with the concerned employees with feedback: This is the stage of the appraiser and the concerned employee sitting together periodically (e.g. every month or quarter or half year) and discussing performance achievements, issues and problems as well as explanations and feedbacks. At this stage the development needs of the employee for further improvement in performance are also identified.

Completing appraisal: This involves formally documenting the appraisal and submitting the appraisal report as per the requirements of the system in place.

Making decisions after appraisal: After appraisal, specific administrative and developmental actions need to be taken. Administrative actions may include personnel and motivational measures (e.g. rewards, grades, incentives, promotion, transfer, discipline). Similarly, developmental actions include such things as assessment of personal/ professional competency and potential, identification of development needs, and training and development opportunities.

It is important to follow all these steps if the appraisal is to be effective in terms of enhanced performance of employees. For this reason, the organization should put in place the system of performance management. If the PMC is fully adopted, it would be possible to implement all the steps of the appraisal process. But, in most of the organizations, the appraisal system is implemented in isolation without integrating it with the system of performance planning and the other components of the performance management system.

This is the case at present in the NGO sector. The system of staff appraisal is inadequate, limited and highly formal. For example, in many NGOs there is no system of performance planning in terms of setting performance targets or standards for each individual employee. Performance measures or indicators are more based on personal traits than on job outputs. Regular performance review and feedback practices between the appraiser and the employee do not exist. The appraisal form is highly restrictive and does not allow for generating feedback and identifying performance development needs.

The existing practices are not sufficient to manage staff performance. Hence some measures and forms have been suggested to make the staff appraisal process more effective for managing staff performance in NGOs. It would be advisable to follow the following procedures for performance planning and appraisal.

Complete the performance plan form, including the monthly work plan component, jointly by the manager and the concerned employee or team for the next performance period. The form is given in Annex 3.2a

Complete the monthly progress report form every month after the completion of the month recording the progress achieved, problems experienced and development needs identified together by the manager and the concerned employee or team. A format of monthly progress report is given in Annex 3.2.c. Annex 3.2d gives a partial illustration of the monthly progress report form.

Hold performance review and feedback session between the manager and the concerned employee or team every three month based on the three months' progress reports.

Collect feedback from multiple sources on the performance of the employee or team every six month using the formats given in Annex 3.2e and 3.2f.

Complete the half yearly performance appraisal form. The rating on the appraisal form should be done by comparing the progress and achievements against the annual performance targets and standards as set in the performance plan and as recorded in the monthly progress reports. The ratings should also be based on the core findings of the monthly performance review and feedback sessions. Two appraisal formats, one for senior staff, and another for junior staff, are given in Annexes 3.2g and 3.2h.

Appraisal Interview

A critical part of appraisal process is interview or discussion/feedback session with the appraisee, more popularly known as appraisal interview. It is an interview in which the supervisor and subordinate review the appraisal and make plans to remedy deficiencies and reinforce strengths.

How to conduct appraisal interview – Prepare for the interview by assembling the data, preparing the employee, and choosing the time and place. Be direct and specific; don't get personal; encourage the person to talk; and don't tiptoe around.

How to handle a defensive subordinate – Recognize that defensive behavior is normal; never attack a person's defenses; postpone action; and recognize your own limitations.

How to criticize a subordinate – When required, criticize in a manner that lets the person maintain his/her dignity and sense of worth, in private, and constructively.

How to ensure the interview leads to improved performance – Clear-up job-related problems and set improvement goals and a schedule for achieving them.

How to handle a formal written warning – Written warnings should identify the standards by which the employee is judged, make it clear that the employee was aware of the standard, specify any violation of the standard, and show that the employee had an opportunity to correct the behavior.

Potential Error in Appraisal

There are several potential problems and mistakes in staff appraisal, some of them related to perceptual errors on the part of the appraiser while others related to the defects in the design of the appraisal system.

- Primacy and recency effect – the appraiser being influenced by either the first impression or the most recent impression of the performer in rating the appraise.
- Halo effect – a positive or negative general impression based on a major trait or quality influencing the rating on other traits.
- Central tendency - sticking to the middle of the rating scales, thus rating

everyone average.

- Leniency/ strictness - the tendency to rate everyone either high or low.
- Stereotyping – the tendency to rate people based on some social, cultural or organizational stereotypes of the people.
- Non-performance factor – rating based on factors other than those related to performance.
- Hostility – rating that reflects aggression or negative attitude of the appraiser towards the appraisee.
- Self- comparison/ compatibility – rating based on similarity or difference with the appraiser.
- Unclear standards – lack of specific performance results or standards expected of employees.

To minimize these appraisal problems the following measures may be helpful.

- Awareness of errors/problems and their likely effects
- Use of right appraisal tools
- Training of appraisers
- Use of records

Effective Appraisal System

- Use behavior/ outcome based measures
- Monitor and documents performance records
- Provide on-going feedback
- Avoid perceptual errors
- Have both interactive (interview) and written (form) structure
- Have multiple raters
- Involve the employee in the appraisal process
- Train appraisers.

Annex 3.2a

Format of Annual Performance Plan

(This form is to be completed jointly by the employee and his/her supervisor for the coming financial year in the month of Asar. At the time of quarterly review and feedback session, this plan must be reviewed and, if necessary, should be adjusted by using a new form.)

Section A: Basic Information

Employee's or Team Members' Name(s):	
Job Title(s):	
Level(s):	Section: n
Supervisor's Name:	Job Title:
Performance Period*: From*	*To*
Completion Date: By *Employee*	*By Supervisor:*

Section B1: Performance Targets or Standards

Key Result Area		**Performance Targets or Standards**
1.		
2.		
3.		
4.		
5.		

Section B2: Other Planned Works

Planned Works		Justification	Expected Outputs/ Results
1			
2			
3			
4			

Section C: Monthly Work Plan

Targets/ Standards		Activities/ Tasks	Time Line (in months*)											
			S	B	A	K	M	P	M	F	C	B	J	A
1														
2														
3														
4														

5														

Other Works

1										
2										
3										
4										
5										

Section D: ***Comments on the targets and activities*** (e.g. comparison with the last year; competency and resource requirements; supervision needs; initiative etc.)

Employee(s):	**Supervisor:**

Signature (employee) ____________________________ Date_________________

Signature (supervisor) ____________________________ Date_________________

Annex 3.2b

A Partial Illustration of Annual Performance Plan

(This form is to be completed jointly by the employee and his/her supervisor for the coming financial year in the month of Asar. At the time of quarterly review and feedback session, this plan must be reviewed and, if necessary, should be adjusted by using a new form.)

Section A: Basic Information

Employee's or Team Members' Name(s): Mr Thakur Chaudhari	
Job Title(s): Health Education Assistant	
Level(s): Fifth	Section: Health Education
Supervisor's Name: Mr Omkar Gurung	Job Title: Health Coordinator
Performance Period: *From* 1 Srawan 2063	*To 31 Asar 2064*
Completion Date: By *Employee 20 Asar* 2064	*By Supervisor: 21 Asar* 2063

Section B1: Performance Targets or Standards

Key Result Area		Performance Targets or Standards
1.	Health awareness of the community	• Organize family health education programs for 200 families; average cost per family not exceeding Rs. 100 and 80 percent of the families covered adopting safer health practices. (Target)
2.	Capacity development of health workers	• Design and deliver five training programs covering 50 field based health workers to improve their service delivery skills, 75 percent of the trained workers actually demonstrating enhanced capacity in performing their duties. (Target)
3.	Training supervision	• Quarterly visits to each health outlet in the district to supervise training activities. • Supervision report submitted within three days of the completion of the visit identifying areas for improvement in training delivery and recommending actions for it. • Availability of logistics and budget to health outlets for training delivery at least one week in advance. (Standards)

4.	…..	…….
5.	…..	…….

Section B2: Other Planned Works

Planned Works		Justification	Expected Outputs/ Results
1	Coordination with government health posts for training	To avoid duplication and pool resources for training	20 additional workers to receive training.
2	…..	…..	…..
3			
4			

Section C: Monthly Work Plan

Targets/ Standards		Activities/ Tasks	Time Line (in months*)											
			S	B	A	K	M	P	M	F	C	B	J	A
1	Health education programs	Preparation of plan for programs	x											
		Collection and development of materials	x	x										
		Selection of participants and venues			x									
		Organization of programs				x	x	x	x	x				
		Preparation of completion reports				x	x	x	x	x				

2	Training programs	....												
		....												
		....												
		....												
		....												
3	....													
4	....													
5	....													

Other Works

1	Coordination meetings with health posts for training	x			x			x			x		
2	....												
3													
4													
5													

Section D: ***Comments on the targets and activities*** (e.g. comparison with the last year; competency and resource requirements; supervise ion needs; initiative etc.)

Employee(s):	**Supervisor:**
• Education and training programs targets higher than in the last year. • Resource persons in Accountants' training required. •	• Training materials development by the employee – a new initiative this year. • Will require training in training materials preparation. • Needs supervision and guidance in training facilitation. • Skills to be developed: report writing, participatory training methodology, and program planning. • .....

Signature (employee) ____________________________ Date_________________

Signature (supervisor) ___________________________ Date_________________

Annex 3.2c

Format of Monthly Progress Report

(This form is to be completed by the employee and his/her supervisor upon the completion of every month. The monthly work plan must be referred to at the time of completing this form. The supervisor must have informal review before giving comments and making assessment.)

Name of the Employee(s):
Supervisor:

Work Unit:
For the Month of:

Section A1: Work Progress

Target/Standard 1:		
Planned Activities	Achievements	Comments (quality, problems, deviations)
Target/Standard 2:		
Planned Activities	Achievements	Comments (quality, problems, deviations)
Target/Standard 3:		
Planned Activities	Achievements	Comments (quality, problems, deviations)

Target/Standard 4:		
Planned Activities	Achievements	Comments (quality, problems, deviations)
Target/Standard 5:		
Planned Activities	Achievements	Comments (quality, problems, deviations)
Other Planned Works	Achievements	Comments (quality, problems, deviations)
1		
2		
3		

4		
5		

Section A2: ***Self Assessment*** **(Put a cross x in the appropriate box. Attach evidence if possible)**

Unsatisfactory ( ) Improvements Needed ( ) Meets Standards (x) Exceeds Standards () Outstanding ( )
Perceived development needs

Section B: ***Supervisor's Assessment*** **(Put a cross x in the appropriate box. Verify and examine progress)**

Unsatisfactory ( ) Improvements Needed ( ) Meets Standards ( ) Exceeds Standards ( ) Outstanding ( )
Comments (including development needs) .

Signature (employee) __________________________ Date_________________

Signature (supervisor) __________________________ Date_________________

Annex 3.2d

A Partial Illustration of Monthly Progress Report

(This form is to be completed by the employee and his/her supervisor upon the completion of every month. The monthly work plan must be referred to at the time of completing this form. The supervisor must have informal review before giving comments and making assessment.)

Name of the Employee(s): Mr Thakur Chaudhari Work Unit: Health Education
Supervisor: Mr Omkar Gurung For the Month of: Srawan, 2062

Section A1: Work Progress

Target/Standard 1:		
Planned Activities	Achievements	Comments (quality, problems, deviations)
Plan for education progs Materials development	Plans completed Materials development not yet started	Planning took longer time than expected due to lack of information and coordination Found difficult to prepare materials due to lack of experience
Target/Standard 2:		
Planned Activities	Achievements	Comments (quality, problems, deviations)
....	.....	.....
Target/Standard 3:		
Planned Activities	Achievements	Comments (quality, problems, deviations)
Target/Standard 4:		
Planned Activities	Achievements	Comments (quality, problems, deviations)

Other Planned Works	Achievements	Comments (quality, problems, deviations)
1 Coordination meetings	Meetings could not be held	Lack of cooperation by other agencies
2 …	….	….
3		
4		
5		

Section A2: ***Self Assessment*** **(Put a cross x in the appropriate box. Attach evidence if possible)**

Unsatisfactory ( ) Improvements Needed ( ) Meets Standards (x) Exceeds Standards () Outstanding ( )
Perceived development needs Materials development training urgently needed.

Section B: ***Supervisor's Assessment*** **(Put a cross x in the appropriate box. Verify and examine progress)**

Unsatisfactory ( ) Improvements Needed ( ) Meets Standards ( ) Exceeds Standards ( ) Outstanding ( )
Comments (including development needs) Program planning is just OK. A lot of support was needed. Does not have experience and skills in education materials development. Needs training in materials development as well as program planning. Tried to coordinate with other agencies – for their cooperation, meeting at the senior management level first required.

Signature (employee) ___________________________ **Date**________________

Signature (supervisor) __________________________ **Date**________________

Annex 3.2e

Feedback Form (Work Colleagues)

STAFF FEEDBACK FORM (Peers)

Section A: Basic Information (to be completed by the Appraiser)

Employee Name:	Job Title:
Section/ Office:	Duty Station:
Peer Name:	Job Title:
Review Period: From To	Date of Previous Feedback:

Section B: Peer Assessment (to be completed by the designated peer)

This person has been my colleague for the full review period. Yes ( ) No ( )
If no, how long has he/ she been your colleague? ______ months

Please assess the person on the following personal attributes and job behaviours by putting X in the appropriate box.

		Strongly Agree	Agree	Disagree	Strongly Disagree
1	(S)he has and applies the required knowledge and skills in the job.				
2	The quality, accuracy and timeliness of his/her work are good.				
3	(S)he works with efficiency and is productive at work.				
4	(S)he behave with a sense of responsibility at work.				
5	(S)he adopts a systematic and efficient work approach and method.				

6	(S)he takes initiatives for work is resourceful n doing work.				
7	(S)he demonstrates enthusiasm, positive orientation and confidence.				
8	(S)he has and uses interpersonal/ communication skills in the team.				
9	(S)he is a team player and has good relations with others.				
10	I feel comfortable working with him/ her.				
Please provide your views on the following aspects of the person.					
Performance Strengths					
Improvements Needed for Better Performance					

Date_________________________

Annex 3.2f

Feedback Form (Customer/Service User)

STAFF FEEDBACK FORM (Customers/ Service Users)

Section A: Basic Information (to be completed by the Supervisor/Appraiser)

Employee Name:	Job Title:
Section/ Office:	Duty Station:
Customer/ Service User Name:	Service Used:
Review Period: From To	Date of Previous Feedback:

Section B: Customer/ Service User Assessment (to be completed by the designated customer/ service user)

I have been this person's customer/ service user for the full review period. Yes ( ) No ( )
If no, how long have you been his/ her customer/ service user? ______ months

Please assess the person on the following personal attributes and job behaviours by putting X in the appropriate box.

		Strongly Agree	Agree	Disagree	Strongly Disagree
1	The quality, accuracy and timeliness of his/her work are good.				
2	(S)he behave with a sense of responsibility at work.				
3	(S)he is polite, cooperative, and efficient in delivering services.				
4	(S)he demonstrates good understanding in dealing with us.				
5	(S)he adopts a systematic and efficient work approach and method.				
6	(S)he demonstrates				

	enthusiasm, positive orientation and confidence.				
7	(S)he is sensitive/ responsive to our needs, concerns and problems.				
8	(S)he has good relations with us.				
9	(S)he treats us with fairness, respect and equity.				
10	I am satisfied with his/ her services.				

Please provide your views on the following aspects of the person.

Performance Strengths
Improvements Needed for Better Performance

Date_______________

Annex 3.2g

Appraisal Form (Managerial and Professional Staff)

STAFF PERFORMANCE APPRAISAL FORM (Managerial and Professional Staff)

Section A: Basic Information (to be completed by the Administrative Officer)

Employee Name/ Team Members:	
Job Title(s):	Date of Appointment:
Section/ Office:	Duty Station:
Appraiser's Name:	Job Title:
Review Period: From To	Date of Previous Appraisal:

Section B: Achievement of Performance Goals (to be completed by the employee or the team and the appraiser)

B1 By Employee/ Team			***B2*** By Appraiser*				
Performance Goals (as in the Performance Plan)		Achievements	US	IN	ME	EE	OS
1							
2							
3							

** Rate the level of performance by putting X in the appropriate box. Consider the qu and quality of work/ outputs, timely completion of the planned tasks, cost effectivene resource efficiency, beneficiary satisfaction with the work completed, and systematic process adopted.*

** Rating scale: US = Unsatisfactory; IN = Improvement Needed; ME = Meets expectations; EE = Exceeds expectations; OS = Outstanding.*

B3 Self Review (By Employee/ Team)	
Significant Tasks/ Contributions not Covered Above:	
Objectives not Achieved:	Reasons:

Important Factors Facilitating Performance:	Important Factors Hindering Performance:
Skills/ Competencies Needed for Better Performance:	

Employee (s) Signature ________________ Date_____________________

B4 Overall Performance (By Appraiser*)
[ ] Unsatisfactory [Improvement Needed [ ] Meets Expectations [Exceeds Expectations [ ] Outstanding
Comments on performance including notable achievements and major performance deficiencies (quantity and quality of work, timely completion; cost effectiveness, resource efficiency, beneficiary satisfaction, and work process):

Section C: Critical Performance Factors (to be completed by the appraiser)

C1 Critical Personal Attributes and Job Behaviours			US	IN	ME	EE	OS
1	**Job and professional competency**	Understood job and professional responsibilities and requirements					
		Demonstrated professional competencies and characteristics needed for the job					
		Applied professional knowledge and skills for performing jobs					

		Updated oneself with new developments in the job and the profession					
		Sought opportunities for the improvement of the existing job competencies					
2	**Work responsibility and orientation**	Executed and created responsibilities willingly, innovatively and enthusiastically					
		Demonstrated a sense of responsibility and accountability for results					
		Showed concern for and endeavoured to achieve quality results					
		Valued and worked for the satisfaction of service users					
		Showed positive attitudes and approaches towards the job responsibilities					
3	**Analytical and problem solving ability**	Diagnosed key problems and addressed them rationally and creatively					
		Analyzed issues and understood underlying causes and implications deeply					
		Solved problems and made decisions timely and effectively					
		Exercised fine judgment in making decisions					
		Was decisive and responsive in the face of problems and issues					
4	**Interpersonal and team ability**	Communicated and interacted regularly and productively with others					
		Built effective rapport with all					

		Developed and facilitated team members					
		Contributed to and made the team achieve results					
		Was open to suggestions and avoided conflicts					
5	**Planning and mobilizing ability**	Prepared and implemented own work plan for achieving performance goals					
		Prepared and helped subordinates prepare effective work plans					
		Supported seniors to develop policies, plans and programs					
		Mobilized resources and facilities efficiently and effectively					
		Used information and time productively					
6	**Supervisory and supportive ability**	Assigned tasks to subordinates appropriately					
		Supervised staff and their performance based on a systematic supervision plan					
		Diagnosed and solved staff problems, motivated and developed them to perform					
		Created a participatory work environment					
		Supported seniors in their tasks					
7	**Personal effectiveness**	Demonstrated awareness of personal strengths and weaknesses					
		Took initiatives in improving work and self					
		Showed interest and engaged in continuous learning					

		Demonstrated resourcefulness and innovativeness to achieve results					
		Demonstrated resourcefulness and innovativeness to handle difficult situations.					

* *Rate the individual or the team against each personal attribute and job behaviour by putting X in the appropriate box.*
* *Rating scale: US = Unsatisfactory; IN = Improvement Needed; ME = Meets expectations; EE = Exceeds expectations; OS = Outstanding..*

C2 Areas of Strengths and Improvements (By Appraiser)	
Major strengths of the employee/ team observed:	Improvements made by the employee/ team since last review:
Areas of improvement for effective performance:	Potential areas for growth:

C3 Recommendations for Actions (By Appraiser)		
Recommendations for training and development (be specific):	In- house	External
Other recommendations (be specific):		

Appraiser Signature ________________ Date___________________

Annex 3.2h

Appraisal Form (Junior Staff)

STAFF PERFORMANCE APPRAISAL FORM (Junior Staff)

Section A: Basic Information (to be completed by the Administrative Officer)

Employee Name/ Team Members:	
Job Title(s):	Date of Appointment:
Section/ Office:	Duty Station:
Appraiser's Name:	Job Title:
Review Period: From To	Date of Previous Appraisal:

Section B: Achievement of Performance Goals (to be completed by the employee or the team and the appraiser)

B1 By Employee/ Team			***B2*** By Appraiser*				
Performance Goals (as in the Performance Plan)		Achievements	US	IN	ME	EE	OS
1							
2							
3							
4							

* *Rate the level of performance by putting X in the appropriate box. Consider the quanti quality of work/ outputs, timely completion of the planned tasks, cost effectivene resource efficiency, beneficiary satisfaction with the work completed, and systematic process adopted.*

* *Rating scale: US = Unsatisfactory; IN = Improvement Needed; ME = Meets expectations; EE = Exceeds expectations; OS = Outstanding.*

B3 Self Review (By Employee/ Team)	
Significant Tasks/ Contributions not Covered Above:	
Objectives not Achieved:	Reasons:

Important Factors Facilitating Performance:	Important Factors Hindering Performance:
Skills/ Competencies Needed for Better Performance:	

Employee (s) Signature ___________________ Date__________________

B4 Overall Performance (By Appraiser*)
[ ] Unsatisfactory [Improvement Needed [ ] Meets Expectations [Exceeds Expectations [ ] Outstanding
Comments on performance including notable achievements and major performance deficiencies (quantity and quality of work, timely completion; cost effectiveness, resource efficiency, beneficiary satisfaction, and work process):

Section C: Critical Performance Factors (to be completed by the appraiser)

C1 Critical Personal Attributes and Job Behaviours			US	IN	ME	EE	OS
1	**Job knowledge and competency**	Understood job responsibilities, requirements and procedures					
		Demonstrated skills and other characteristics necessary to perform the job					
		Applied job knowledge and skills for performing tasks					
		Updated oneself with new developments in the job and its context					
		Sought opportunities for the improvement of the existing job competencies					
2	**Work responsibility**	Sought, accepted and executed responsibilities willingly and enthusiastically					

		Showed readiness to take extra work load and put in extra efforts when needed					
		Demonstrated a sense of responsibility for work and outputs					
		Was serious about the tasks assigned					
		Showed positive attitudes and approaches towards the job responsibilities					
3	**Work methods**	Adopted a planned and organized approach to work					
		Was systematic and methodical in carrying out duties and tasks					
		Followed standard and logical work procedures.					
		Used available resources economically and prudently					
		Used techniques, tools and equipment correctly					
4	**Work orientation**	Showed concern for and endeavoured to achieve quality at work					
		Was efficient in following work procedures and in managing resources					
		Approached tasks confidently, positively and innovatively					
		Valued and worked for the satisfaction of service users					
		Enjoyed work and was satisfied with work environment					
5	**Commitment to duty and discipline**	Pursued duties with interest, faith, devotion and inspiration					
		Complied with the Project policies, rules and norms.					
		Carried out seniors' instructions with diligence					

		Served and promoted the interests of the Project					
		Was regular and punctual at work					
6	**Interpersonal and team relationship**	Built effective rapport with others on the basis of mutual trust and respect					
		Was open to suggestions					
		Sought, received and gave support for task performance					
		Contributed to the team performance					
		Avoided conflicts					
7	**Personal effectiveness**	Demonstrated awareness of personal strengths and weaknesses					
		Took initiatives in improving work and self					
		Showed interest and engaged in continuous learning					
		Demonstrated personal resourcefulness and innovativeness to achieve results					
		Handled difficult and critical situations effectively					

** Rate the individual or the team against each personal attribute and job behaviour by putting X in the appropriate box.*

** Rating scale: US = Unsatisfactory; IN = Improvement Needed; ME = Meets expectations; EE = Exceeds expectations; OS = Outstanding.*

<u>C2</u> Areas of Strengths and Improvements (By Appraiser)

Major strengths of the employee/ team observed:	Improvements made by the employee/ team since last review:
Areas of improvement for effective performance:	Potential areas for growth:

<table>
<tr><td colspan="3"><u>C3</u> Recommendations for Actions (By Appraiser)</td></tr>
<tr><td>Recommendations for training and development (be specific):</td><td><u>In- house</u></td><td><u>External</u></td></tr>
<tr><td>Other recommendations (be specific):</td><td colspan="2"></td></tr>
</table>

Appraiser Signature _______________ **Date**_________________

Annex 3.2i

An Example of Performance Appraisal Policy and Procedures of a Project

The Project periodically reviews performance of its employees to determine how well they are doing their jobs compared to a set of goals or standards so as to improve their performance effectiveness. It is the basis for performance feedback and staff development for further improvement in their performance.

Appraisal Policy and System

- The approved performance plan and monthly progress report are the two main bases for appraising performance of staff. Besides, the regular supervision and interactions between the supervisor and the employee provide relevant information for appraisal.
- The unit of appraisal (i.e. individual or team) is the same as that of the performance plan.
- Although the major components of the appraisal system are same across all staff categories, the appraisal formats are customized according to the nature of jobs of three principal staff groups, viz. senior managerial/ professional staff, junior clerical staff at the central Project office, and junior field-based staff.
- Performance appraisal is done openly and interactively, and performance rating and feedback are shared with the appraisee.
- While the main responsibility for appraisal lies with the immediate supervisor as identified in the job profile, information and feedback on performance are also gathered and used from other sources. The employees are also to make self appraisal.
- The appraisal factors include both performance results (achievement of performance goals) and critical personal and behavioral attributes affecting performance.
- Appraisal is a regular process between the supervisor and the employee taking place as a part of supervision and facilitation of work. However, formal appraisal is done every six month with monthly assessment of work progress towards set performance goals.

- Performance is rated on the prescribed forms by the appraisers. The supervisor holds appraisal session with the appraisee before rating him/her in which performance achievement, problems, issues and development needs are reviewed with the appraisee, feedback is given, and performance goals for the next six month are agreed on.

Appraisal Procedures

- The cycle of appraisal corresponds with the cycle of performance goal setting, that is to say, September – February and March – August periods.
- The formal appraisal and feedback session and the rating on the form take place in the last weeks of February (covering September – February period) and August (covering March – August period).
- The Administrative Officer of the central Project office issues the appraisal and feedback forms to the supervisor (appraiser) of the concerned employee or team at least two weeks before the appraisal periods with necessary information and guidelines.
- The appraiser issues the appraisal form to the concerned employee or team and the feedback form to the concerned persons with necessary guidelines and information.
- The appraiser informs and fixes a date for appraisal and feedback session with the concerned employee or the team giving sufficient time for preparation.
- The appraiser and the employee both make preparation by collecting necessary information and completing and compiling supporting documents, including job profile, performance plan, monthly progress reports forms, and other relevant documents as necessary.
- The employee completes the relevant sections of the form and submits the form to the appraiser at least a week before the appraisal and feedback session.
- The appraiser collects the competed feedback forms from the concerned persons.
- The appraiser and the employee hold appraisal and feedback session to share information and feedback and to agree on the achievements, problems, issues, and development needs. The appraiser also shares with the employee the feedback of the other concerned persons as given in the feedback form. They also agree on the performance plan for the next review period.

- The appraiser completes the relevant sections of the form and submits the form to the Project Coordinator for information and necessary development/ corrective actions. The Administration and Finance Officer documents the appraisal forms for future reference.

- The appraiser/ supervisor implements development and corrective actions as indicated in the form to improve performance effectiveness of the employee or team.

Assignment 3.2a

Performance Goal Setting

Form small groups of participants of your own organization. Take the position for which you prepared earlier job description statement. Using the format given and following the partial illustration of goal setting prepare a performance plan for one year period. You may make several assumptions for this task.

Assignment 3.2b

Performance Appraisal

Go in the same groups as in the preceding exercise. Using the illustration and formats given try to complete as much as possible the relevant monthly progress report, feedback, and appraisal forms for the position for which you have prepared performance plan. You may make several assumptions for this task.

……….Activity Three

Performance Support systems

Time: Two hours

Why do this Activity?

This activity focuses on the various management practices necessary for motivating and maintaining performance at a higher level. It includes motivation, problems handling, and employee relations, which support and induce better performance.

Learning Objective

- Create and manage performance support systems and practices for maintaining and enhancing staff performance.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 50 minutes

Discussion Ask participants how motivated performance do staff members demonstrate in their organizations. Lead the discussion to the concept and process of motivating performance. Explain the concept, importance and approaches to motivating performance with the help of materials given in Handout 3.3 using visuals.

Group Work Form small groups of 3- 4 participants each. Give them Assignment Sheet 3.3a. Ask them to identify motivated and de-motivated employees and develop motivational plan for motivating the de-motivated employees they identify. Encourage them to use the different motivational approached discussed.

Plenary Assemble the groups. Have each group present their outputs taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Summarize the key findings based on discussions.

Step 2: 40 minutes

Presentation Explain the concept and process of diagnozing performance problems and approaches to handling them for supporting performance with the help of materials given in Handout 3.3 using visuals.

Group Work Ask participants to work in the same groups as before. Give them Assignment Sheet 3.3b. Ask them to identify performance problems of various employees given in the mini cases and prepare a plan to handle their problems. Encourage them to use the different motivational approached discussed.

Plenary Assemble the groups. Have each group present their outputs taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Summarize the key findings based on discussions.

Step 3: 30 minutes

Presentation Briefly introduce employee relations programs that support better performance in the organization with the help of materials given in Handout 3.3 using visuals.

Discussion Lead a discussion on what kinds of employee relations can be planned and implemented in NGOs.

Summarize the key findings based on discussions.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.

Handouts

- Handout 3.3: Performance Support Systems
- Assignment 3.3a: Motivating Performance
- Assignment 3.3b: Diagnosing and Handling Performance Problems

Handout 3.3

Performance Support Systems

For effective management of performance, performance planning and appraising practices need to be supplemented by a set of regular practices that support higher performance. These practices include, among others, motivating staff, handling performance problems, and maintaining employee relations, which support and induce better performance. Collectively, they may be called performance support systems.

Motivating Performance

Performance of an employee is largely a function of his/her willingness and ability to work. True, the work environment also affects performance, but without a reasonable level of motivation, no staff member will perform at the expected level, irrespective of the nature of the work environment. Generating motivation among the staff members is thus a major role and also a challenge for all managers.

Inadequately motivated staff is a problem that NGO managers frequently encounter. Experience suggests that staff motivation is a major issue that should be addressed to improve the quality of NGO services.

Motivating performance of staff should be a critical part of the performance management system in NGOs. In order to achieve the set performance targets and standards it is important that all health personnel are motivated for increased performance with high service quality.

Concepts of Performance Motivation

Motivating performance is *a process of generating willingness and commitment in employees to exert a higher level of effort, energy and enthusiasm towards carrying out their jobs and achieving performance goals*. It involves inspiring employees for higher achievements by using various managerial approaches.

Motivation is necessary when an employee is not performing as well as he/she is capable of. In this case the basic purpose is to improve the level of performance to bring it up to the planned or desired level. For example, a health worker may not be making as many home visits as planned for as part of a health education campaign. This may be an indication of unmotivated performance. Motivation is also required to sustain good performance or to achieve an even higher level of performance. For example, a health worker achieving his/her target of family planning counseling may need further motivation to increase his target of the number of couples to be counseled or to achieve a greater rate of adoption of the family planning practices among the couples receiving counseling in the next performance period.

Approaches to Motivating Performance

Certain simple approaches may help managers motivate their staff members for increased performance.

Identify motivated and unmotivated employees: Some of the signs of motivated employees include high performance and results being achieved consistently, the energy, enthusiasm and determination to succeed, willingness to accept responsibility, and willingness to adjust to necessary changes. On the other hand, an unmotivated staff can be identified by such behaviors as indifference to work, high absenteeism, disputes and grievances, less work involvement and participation, dependence, lack of confidence and commitment, lack of cooperation in dealing with problems or difficulties, and unjustified resistance to change.

A manager should carefully observe these behaviors at the work place and identify who among the employees are motivated and who are not. While the first priority for the manager is to motivate performance of the less motivated employees, he/she should also give equal attention to sustain the performance of the motivated ones. Motivation is a dynamic process and without continuous reinforcement it disappears in no time.

Understand what motivates work performance: Despite individual variations in the factors that motivate performance, it is possible to identify some generalized patterns of performance motivation. Various research and experiential evidence does exist that explains what generates motivated performance at the work place.

The needs theories provide a simple and commonsense explanation. The essence of these theories is that motivation is a response to the felt needs. The desire to satisfy the needs generates willingness to perform, and a person chooses to perform in ways that he/she thinks help him/her gratify the needs.

The expectancy theories, explain motivation in terms of the expectations an employee has about the consequences of his/her work behavior. People will put in more efforts if they believe that their efforts will result in better performance and that the performance will bring in rewards they value. For example, a health worker may be expected to work harder to achieve the immunization targets if he/she thinks that the achievement of the targets is possible with his/her extra efforts and that the achievement of the targets will result in him/her being nominated for an advanced training program which he/she highly desires.

Another model, known as the goal setting theory, maintains that employees are motivated to perform better when they are involved in setting performance goals which they understand and accept and are specific, concrete and moderately challenging. For example, a health trainer is likely to achieve his/her training targets if he/she is involved in setting such targets which are specific (e.g. six training programs to be organized) and modestly challenging for him/her (e.g. one program more than the last year's performance). Its implication is that the manager should involve the employee in setting challenging performance goals.

The equity theory states that an employee compares his/her efforts (i.e. inputs) in a job with its outcomes (i.e. outputs) and also with those of his/her work mates. The employee perceives equity if the output to input ratio is positive (i.e. rewards equal to or exceed efforts) and inequity when the ratio is negative (i.e. rewards less than efforts). The perceived inequity results in the person lowering his/her efforts to restore equity, which means less performance. For example, If a health worker perceives that his/her tremendous efforts to achieve all the immunization targets have not been sufficiently rewarded in terms of the ratings in his/her annual performance appraisal, his/her performance is likely to decline in her bid to restore balance between performance efforts and outcomes. Likewise, if his/her performance ratings are same as those of another health worker who in he/she thinks has not put in as much effort, this will also lead to a decline his/her performance.

A different perspective on motivating performance focuses on the nature of the job. The job characteristics model maintains that the presence of five core dimensions in the job motivates employees for a high level of performance. They include: skills variety (opportunity to use of different and high level skills), task identity (opportunity to do the whole or thee large part of the job), task significance (opportunity to do important work that influences a large number of people), autonomy (opportunity to use own discretion while working), and feedback (opportunity of knowing how well one is doing in the job).

When these characteristics are built into the job, the job holder experiences meaningfulness in the job, feels responsibility for its outcomes, and knows about its results. These psychological conditions create motivated performance. For example, if the job of a health worker is designed in such a way that he/she requires using varieties of high level skills, the job impacts on a large number of community members, and he/she is given freedom to decide how the job is to be done and regular feedback o how well he/she is doing the job, he/she is likely to motivated for better performance.

Use a combination of personal, behavioral, job and work context related techniques: There are broadly two approaches to motivating performance: financial or tangible rewards and behavioral and job focused measures. For many managers, including the district health managers, the former approach has only very limited applicability as they do not have much control over financial or tangible rewards to use as a motivator for influencing staff performance. Hence the second approach that combines various personal, behavioral, job and work context related factors to motivate performance is more important from practical point of view.

What the manager needs is to understand the various perspectives that explain what motivates work performance and then to design techniques for motivating performance in their work setting. Below some general guidelines are given.

- Clearly define an acceptable level of performance targets or standards jointly with the employee. Make goals moderately challenging and ensure that the employee understands and accepts the targets or standards. Implementation of the performance planning system, as suggested earlier, helps doing it.

- Help remove all obstacles to reaching the performance targets or standards by ensuring the employee has adequate technical resources, personnel, and supervisory support.

- Design jobs in such a way that the employees need to be quite active in work, use variety of skills, and are responsible for the entire area of responsibility.

- Make rewards contingent on high performance. When discipline is required, treat it as a learning experience for the person.

- Use reinforcing rewards that appeal to the employee. Allow flexibility in individual selection of rewards. Provide both appealing external rewards as well a satisfying and rewarding work. To maintain value, do not overuse rewards.

- Periodically check workers' perceptions regarding the equity of reward allocations. Correct misperceptions that serve as the basis for equity comparisons.

- Minimize the time lag between performance and feedback on performance, including the administration of rewards or reprimands. Provide honest and accurate assessments of current performance and long range opportunities.

- Develop employees' ownership in the work by asking their inputs and suggestions.

- Give them power to choose wherever possible. Let employees make choices more often. Give them responsibility for their work. Provide leadership opportunities to them.

- Try to meet their need for affiliation and belongingness. Offer opportunities to socialize. Use the power of teamwork.
- Develop their competence to perform. Provide learning opportunities. Tolerate mistakes. Give them opportunity for self improvement.
- Give appreciation and recognition. Encourage employees for good work and for achievement. Show appreciation.
- Create opportunities for advancement not only in terms of promotion but in improving professional ability and activities in the community.
- Show workers the significance and impact of their work for the community.
- Show concerns for their personal and professional problems, needs and issues and make genuine efforts to help them address those concerns and needs.
- Provide better work environment physically, socially and psychologically within the limits of the office resources.

Diagnosing and Handling Performance Problems

In course of implementing performance plans, most employees quite often experience problems and constraints that inhibit the progress in implementation and prevent them from achieving their performance targets or standards. It is only natural. No program will ever be completely trouble-free. One of the major responsibilities of the manager is therefore to identify the problems employees are encountering and help them resolve the problems.

Proper diagnosis and handling of employees' problems is a critical aspect of effective performance management. It involves discovering the causes of problems and initiating measures to address them. This means that the manager should follow a systematic approach rather than jumping to conclusions that poor performance is the result of deficiencies in personality traits or a bad attitude of staff. The performance diagnosis model offers a systematic way for managers and workers to collaboratively pinpoint the causes of performance problems.

Diagnostic questions: Before corrective actions can be taken to address the problems, the manager must determine the nature of the problems. He/she should begin by asking several diagnostic questions some of which are outlined below.

- Who is involved in the problem?
- What exactly is wrong?

- When did the problem start?
- Where exactly is the problem taking place?
- What is the cause of the problem?
- What resources will be needed to solve the problem?

Approaches to uncover problems: Some of the approaches that may help uncover the problems to be addressed with priority include:

- Study records of employees' activities. For example, the records may show that there has been a continuous decline in the number of clients visiting health posts in the past few months. The concerned employee may not be aware of this fact and its impact on the performance targets.
- Meet employees on a regular basis. In such meetings, the manager may discover problems by engaging the employee in discussions about the job, achievements, progress, complaints, and difficulties. For example, a district health manager can meet health supervisors each time after their return from their supervision visits to the field offices.
- Observe employees as they do their works and deliver services. This will give first-hand, on-the-spot information about the problems of employees. For example, the performance of health assistant can be observed while he/she is attending a patient at the health post.
- Talk with the users of the services. They will be in a much better position to tell about the lapses or gaps in services they are receiving from employees. For example, the patients visiting the health post may provide valuable information about the services they receive. From this, problems in employees' performance such as delay in service delivery or poor patient handling can be derived.
- Talk with the work colleagues and subordinates of employees. This will provide valuable information about the problems of employees at the work place. For example, a work colleague may point out frequent negligence of duties by a health assistant.

Causes of performance problems: In general, there are two kinds of problems the manager has to handle with staff: poor job performance, which results when an employee does not or cannot perform the job properly, and personal problems, which often interfere with collaboration among employees or affect an employee's motivation. These problems may occur because the employee:

- Doesn't fully understand the duties and performance targets or standards

- Doesn't know how to carry out the assigned tasks
- Is not provided with necessary resources, equipment or supports
- Is not properly trained for the jobs
- Is troubled by personal problems
- Has a personality conflict with other employees or service users
- Does not have appropriate aptitude or liking for the job
- The job is boring and not challenging
- Feels that he/she is not being properly or adequately supervised
- Is not rewarded for the better performance
- Is not receiving the rewards he/she values
- Is unable to adjust to the local environment.

Handling performance problems: After determining the nature of the problem, the manager should take measures to correct them. Some important actions could be:

- Provide adequate supervision
- Communicate and make understand performance targets and expectations
- Provide additional resources
- Arrange for training
- Change the job requirements
- Reward for good performance
- Assign to new job
- Discipline the employee

Maintaining Employee Relations

An equally important part of performance management system is the existence of a good employee relations environment in the organization. Employee relations is *a set of policies, programs and mechanisms focused on safeguarding and promoting the basic interests of people at work within the framework of mutual cooperation between management and employees and human dignity and growth* to seek greater organizational effectiveness.

Some important employee relations programs are as follows:

- Employee participation programs such as ownership participation (e.g. stock holding), decision participation (joint consultation, quality circles, team briefing, and suggestion schemes), and benefit participation (profit sharing schemes).
- Employee protection programs such as reactive measures – compensation and prevention measures - health and safety.
- Employee rights programs such as job security - employment at will, employment rights, personal rights, and disciplinary procedures.
- Employee assistance programs such as employee counseling and employee benefits.
- Employee communication programs such as upward communications (grievances procedures, suggestion box, and open door practice) and downward communications (handbook, bulletin board, newsletter, meeting, and electronic media).
- Other social and informal programs

Assignment 3.3a

Motivating Performance

Read carefully the mini cases given below. First, identify in which cases the concerned employees are motivated and in which they are not. Which aspects of the demonstrated behaviors make you think so? Also identify why the person in the case is either motivated or not.

Second, prepare a plan to motivate the ones you have identified as not motivated using the motivational approaches discussed.

1 Parvat, a lab technician, is always willing to accept and carry out responsibilities assigned to him. He puts a lot of emphasis on developing his ability as a lab technician. His desire is to go for an advanced training. He believes that if he continues to do a good job, he will be nominated for training in the coming year. One of his colleagues, who was a good worker, was nominated for training this year.

2. Nandu, a health post in-charge, distances himself with his duties as much as he can, and shows little commitment to the works he is forced to do. He is often heard as saying, "I would rather work for a private nursing home. They pay a lot better. I've a family to look after, and what I get here can't meet my both ends meet".

3 Narmada, a public health nurse, always exceeds her performance targets. Moreover, she is always energetic and enthusiastic about her job. But she was not behaving this way since she joined the office. Her behavior took a positive turn since last year. She was given full responsibility for the safer motherhood program of the office one year before. In this new role, she has to use a number of high level skills and is free to make operational decisions within the agreed plan. Besides, she directly gets feedback from the users of the services she offers.

4. Sarala, a health education technician, achieves her targets given to her. She seems to like her job, and applies herself fully to it. When asked what she likes about her job, she enthusiastically tells that she knows what is expected of her in the job. "My boss and I sit together and work out what should I achieve during the three month period. One good thing about him is that every time we discuss to set my performance targets, he keeps encouraging me to set them slightly higher than the last time. Despite some initial reservation, I tend to go along with him, and accept his suggestions."

5. Sohan, a health supervisor, is indifferent to his job. His colleagues describe him as being uncooperative, particularly when it comes to addressing some work problems. His grudges are many, but most of the times he likes to tell his pet story. As he puts it, he was a good worker until last year. “You see, what happened last year,” he tells everyone who cares to listen to him. “I put in lots of efforts and even exceeded the performance targets given to me. There was another guy, who was good for nothing, always avoiding responsibilities. He got two grades increment just as I did. But, you know, I earned it hard. He got it for nothing.”

1. **Identification**

Case	**Motivated or Unmotivated?**	**Factors**	**Reasons**
1. Parvat	______________	____________	____________
	______________	____________	____________
2. Nandu	______________	____________	____________
	______________	____________	____________
3. Narvada	______________	____________	____________
	______________	____________	____________
4. Sarala	______________	____________	____________
	______________	____________	____________
6. Sohan	______________	____________	____________
	______________	____________	____________

2. Motivation Plan

Assignment 3.3b

Diagnozing and Handling Performance Problems

Read carefully the mini cases given below. First, identify what kinds of performance problems the employees are facing in the cases using the model of diagnosing performance problems discussed in the session.

Second, develop a plan to handle the problems using the approaches discusses.

The level and quality of staff performance in your organization is low. You suspect that the continuing problem in performance is largely due to the performance of the core staff team of your organization. So you decide to explore the issues with them. You prepare a profile of each of them.

1. Naresh thinks he is performing quite satisfactorily. You think he is not. He has improved his skills considerably sine last training. He is also committed to his job.

2. Sumita confesses that she has not been able to meet your expectations of her but then she argues she does not have the computer hardware which are critical for her to process information fast. She likes her job and is trained for it.

3. Anjan has some difficulties operating the sophisticated equipment he is responsible for. He is otherwise a committed staff and likes his job. He was away for his marriage when he was supposed to do an advance course on the operation of his equipment.

4. Mohan had not done well in his engineering course. In fact, he always felt that technical line was not what he had been made for. He writes beautiful poems, He is willing to do as much work as expected of him but his lack of technical comprehension makes him perform poorly.

5. Prabha is simply brilliant. There is no reason why she should not excel in performance. But she is just an average performer your view. She told you that she had no idea of the level performance she should achieve. She thinks she has never been told about it.

6. Rajendra is competent but he is frustrated and does not believe that more performance would bring him any thing. He thinks that he has been unfairly treated in the organization. He has not received things he deserves.

7. The case of Bijaya is different. He is able and has performed well in the past. You have also rewarded him many times. But they do not seem to have reversed his declining performance. He wants to do managerial jobs rather than technical ones. But you have decided against it as he is a trained technical person.

1. Identification

3. Problem Handling Approaches

Unit FOUR

Developing and Empowering Staff

Introduction

The focus of this unit is on how to empower and enhance capacity of staff for improved performance. It includes staff training and development system and staff empowerment practices.

Learning Objectives

After completion of all the activities and study materials of the unit, participants will be able to:

- Describe the concept and process of developing staff performance and develop and implement practices for developing staff for improved performance; and
- Design and implement staff empowerment practices for improved performance.

Structure and Timing

Activity One: Developing Staff for Performance (Four hours)

Activity Two: Empowering staff for performance (One hour)

Total Time: Five hours

……….Activity One

Developing staff for Performance

Time: Four hours

Why do this Activity?

This activity is designed to help participants understand the concept and process of developing staff performance and develop and implement practices for developing staff for improved performance.

Learning Objective

- Describe the concept and process of developing staff performance and develop and implement practices for developing staff for improved performance.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 40 minutes

Presentation and discussion Refer to the conceptual framework of human resource management functions as discussed in Unit One and highlight the need for developing employees for better organizational performance.

Ask participants what kinds of staff performance development practices and systems do they have in their organizations. Have a general discussion on performance development practices in NGOs.

Inroduce the approaches to performance development based on materials given in Handout 4.1 with the help of visuals. Encourage participants to give examples of each major step and give examples from your experience.

Step 2: 140 minutes

Group Work Divide participants into small groups of their own organization. Give them Assignment Sheet 4.1a. Ask them to prepare performance development needs and performance development plan as well as design on-site performance development methods, utilization plan and evaluation plan based on the formats and illustration given.

Plenary Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

Summarize the key findings based on discussions.

Step 3: 60 minutes

Group Work Ask participants to work in the same group. Give them Assignment Sheet 4.1b. Ask them to prepare staff development policies based on the example given in Annex 4.1f.

Plenary Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

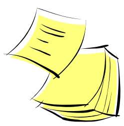
Summarize the key findings based on discussions.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 4.1: Developing Staff Performance
- Assignment 4.1a: Preparation of Staff Development Approach
- Assignment 4.1b: Preparation of Staff Development Policy

Handout 4.1

Developing Staff for Performance

Performance of an employee is also a function of his/her ability to work. True, the work environment also affects performance, but without a reasonable level of ability, no staff member can perform at the expected level, irrespective of the nature of the work environment. Developing them to perform is thus a major role and also a challenge for all managers. This is yet another critical part of performance management system.

The existing level of performance ability of many NGO employees is not adequate to ensure quality service delivery as required. In any case, NGO services and their management is a vast area of activity. Knowledge and skills related NGO functions and their management practices are growing continuously. NGO personnel need to be regularly updated for better performance.

Developing performance of staff should be a critical part of the performance management system in NGOs. In order to achieve the set performance targets and standards it is important that all NGO personnel are developed for increased performance with high service quality.

Concepts of Performance Development

Developing performance involves *increasing ability of employees to perform their jobs and achieve performance goals through the process of organized learning*. It means *expanding their capacity to do more or better by equipping them with necessary skills, techniques, attitudes and knowledge by creating an organized process of learning for correct, effective and superior performance*.

Concept of Performance Development

- **Helping to acquire and increase employees ability to perform**
- **Through the organized process of learning.**

Like motivation, development of employees is necessary in both situations – when they are not performing as well as they should due to the lack of ability and also when they need to increase their ability as a result of the changes in the performance situation such as work practices and technology. In the first case, the purpose is to improve performance to the required level. For example, a health worker may not be accurately following the prescribed procedures for treatment. His/her performance needs to be developed by making him/her understand both the correct procedures and the value of following them. Even when the current performance is acceptable, an employee may still need to be developed if certain changes in the work and its context take place. The purpose here is to sustain and enhance performance under the changed context. For example, if a new training method is introduced to train grassroots motivators, the NGO manager or trainer should be developed to use the new method.

Approaches to Developing Performance

Broadly speaking, a manager can use two approaches to developing performance of staff: informal, job-based process of development (such as on-the-job instructions and performance coaching) and formal, off-the-job development (such as institution-based training programs). While both would be necessary for developing performance of the NGO employees at various stages of their career, NGO managers must apply themselves more to developing staff performance through various job-based methods. They are not only more practical but they also meet the development needs of NGO employees as and when they arise. However, for both on-site and off-site development approaches, NGO managers should start by identifying performance development needs of their staff.

Assess Performance Development Needs of Staff

The most critical initial task in developing performance is to identify whether staff members have problems in performing their jobs, whether the problems can be addressed by developing their competencies, and which competencies are to be developed. Such assessment of development needs is critical in order for the development of staff to contribute to performance improvement. Many performance problems arise because of such factors which cannot be corrected by developing staff members. If the reason why a supervisor is not making effective supervision is that he/she has been assigned heavy administrative works at the office, for example, then developing supervision capability is not a need of the person. What is required in this case is the rationalization of work allocation.

A manager may use the decision tree model to analyze performance problems and determine whether or not a need exists for developing performance. The model is given in Annex 4.1a. As shown in the model, staff training and development is only one of the possible approaches to improving performance and is only appropriate when the performance problem is caused by the lack of necessary skills. Sometimes even if the problem is caused by a skill deficiency, training and development will not always be the solution. As shown in the model, the employee may actually have the skill but may need more practice to perform effectively. These considerations are important for identifying actual need for developing performance.

The information for assessing development needs of staff may come from different sources: supervision reports, on-the-job observations of the performance, performance feedback and complaints by the users of the services, self reporting by the concerned staff about his/her performance problems, and performance appraisal of staff. It is important that every time when supervision is done, performance problems the supervisee is experiencing should be identified and the potential development needs that may address the problems should be reported. A section of the supervision report could be devoted to staff development needs. In the monthly progress report form, suggested in the earlier session as a part of the performance management system, a section is provided for identifying development needs of the staff members.

NGO managers may summarize performance development needs of their staff members on a quarterly basis. A format for preparing development needs of staff is given in Annex 4.1b. A partial illustration of the summarization of development needs is presented in Annex 4.1c. The needs thus identified then can be the main basis for developing quarterly staff performance development plan and initiating development actions to improve performance.

Prepare Performance Development Plan

It is advisable to prepare a quarterly performance development plan on the basis of the assessment of development needs of staff members. The plan should specify the improvements in performance expected in the form of development objectives and identify the development actions or programs that would help achieve them while meeting the identified needs. It should also identify the program management issues such as timings, logistics, responsibilities, and resources for the implementation of the programs. The focus of the development plan in case of NGOs should be on the job-based, informal development methods. A format for preparing performance development plan is given in Annex 4.1d. A partial illustration of the performance development plan is shown in Annex 4.1e.

Use On-site Development Methods

These methods provide learning experiences which use the existing job and organizational conditions, problems and resources for helping employees improve their performance competencies and enrich them personally. These methods allow employees learn and develop while performing their job responsibilities. Learning takes place in the familiar and real work setting. Hence, learning takes place more effectively and is also easily transferred. They are based on learning by doing principle. These methods directly involve managers and supervisors in training and developing their staff. Some of the more useful development methods are briefly introduced below.

On the job training (OJT): OJT involves assigning new or less experienced employees to experienced workers or supervisors with a view to helping them learn the job skills by observing the experienced employees and by working with the actual materials, personnel and equipment. The experienced employee or the supervisor provides instruction and guidance as well as a favorable role model with whom the trainee can identify. A typical OJT process involves the following steps.

- Get ready to instruct (break down the job by listing the important steps; pick out the key points; prepare an instructional plan with timetable; and have everything ready (equipment, material, supplies, and workplace).

- Prepare the employee (put the employee at ease; find out what he/she already know; and arouse interest).

- Present/instruct (one point at a time, stressing key points; tell, show, explain, demonstrate).

- Try out performance (have the employee perform the operation; have the employee explain the key points; provide feedback; correct errors; and reinstruct as necessary).

- Follow up (put the employee on his/her own; encourage questioning/seeking guidance; check progress frequently; tell the employee whom to go to for help; provide guidance as needed; and gradually withdraw assistance).

Performance coaching: Performance coaching is a managerial process of systematically increasing the ability and experiences of subordinates to maintain or improve performance through discussion or instruction, planned and guided activity, and continuing appraisal and feedback around job problems. In coaching the manager consciously uses work as an opportunity for planned learning of subordinates under his/her guidance.

Coaching serves a number of important functions within an organization. It lets subordinates know what their supervisors think about how they do their jobs and enables supervisors and employees to work together on ways in which employees can improve their performance. It also improves communication and collaboration between supervisors and employees and provides a framework for establishing short- and long-term personal career goals.

A typical coaching process includes the following steps:

- Recognize/make the opportunity for coaching by identifying performance problems and agreeing with the concerned employee about the coaching need.

- Identify resources for coaching including time, learning materials and resources as required.

- Jointly prepare and agree the coaching plan by outlining the performance improvement goals, learning activities and process, timing, learning evaluation, and application of learned abilities.

- Start coaching as per the agreed plan. Coaching may involve using several learning methods such as presentation, demonstration, application assignments, feedback, and behavior correction.

- Review both the learning taking place and progress in work behaviors or practices focused by the coaching process.

- Confirm new competencies developed as a result of the coaching process by letting the employee carry out the work independently.

Performance feedback: Performance feedback as a development method involves communicating to the employees the manager's reactions, comments and suggestions regarding their work performance. Feedback lets them know what they are doing well, where they need improvement, and how they can improve. Feedback should be a regular part of the supervisory relationship between the manager and the employee. In NGOs, feedback can be given at the time of supervision and also during the discussions at the time of preparing monthly progress reports of staff.

While giving feedback for developing performance, certain principles and techniques should be followed.

- Relate feedback to the actual tasks and work practices carried out by the employee, not on the perception of how they should be done.

- Describe the actual work behaviors; do not make judgments on the performer.
- Make feedback constructive. If a negative feedback has to be given, it should be preceded by a positive one.
- Give factual, specific, and accurate feedback; do not make it vague and abstract.
- Give feedback about the behaviors the person can change, not about situations outside his/her control.
- Give feedback promptly after the events, not after a long time has passed.
- Include in feedback the potential actions or behaviors the concerned employee can use for improving his/her performance.

Create opportunity for applying the learned abilities: The use of the above development methods including formal off-site training will create enhanced capacity to perform, but they will not automatically result in improved performance. What is necessary is the use of the learned abilities to perform the job. Hence, managers should ensure that the employees, after they are put through a development process, get opportunities to use the improved or new skills they have learned. This can be done in a number of ways: by giving new or revised assignment related to the skills learned; by giving specific and challenging performance targets in the same responsibility area; by asking the employee to prepare and implement an action plan to use his/her learning; by providing resources, guidance, supports, and encouragement for performance; and by continuously following up the performance of the employee.

Evaluate the improvement: As the last activity in performance development, the manager should evaluate the change and improvement in performance as a result of the development process. Evaluation should be carried out by comparing the current performance results with the performance problems before the start of the development process and the performance improvement objectives set at the time of designing the development program. Various simple methods can be used for this purpose. The concerned employee may be asked to do a self report after a couple of months identifying whether and to what extent his/her performance has improved. Similarly, work colleagues and users of the services of the concerned employee may also be consulted. Most importantly, the manager should closely monitor and observe the progress being made.

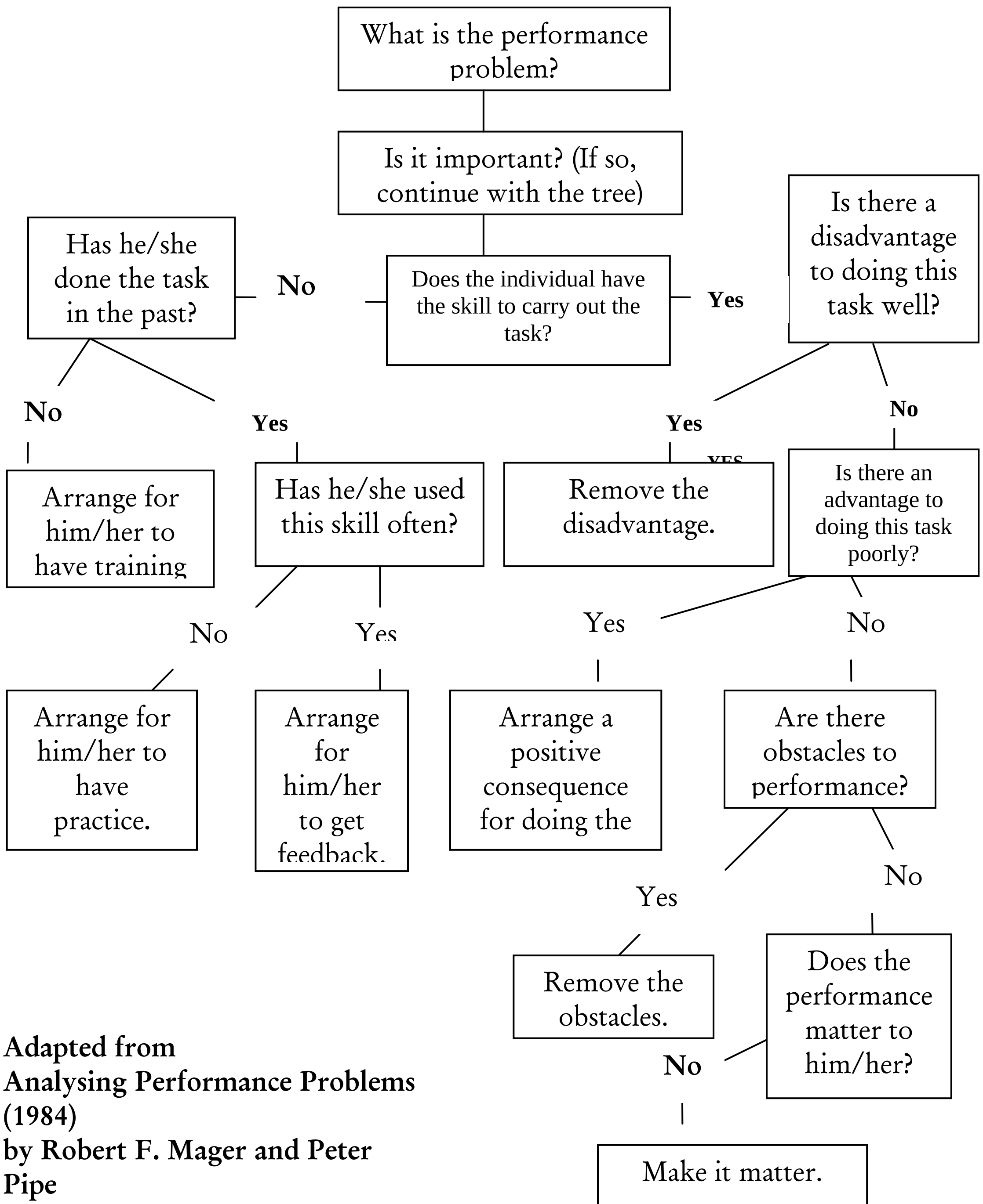
Performance Development Policy

It is a good idea to formulate staff performance development policy of the organization to guide performance development programs and actions. The process and approach of performance development discussed above should be the basis for formulating such a policy.

An example of staff performance development policy of an organization is given in Annex 4.1f.

Annex 4.1a

Decision Tree Model



Adapted from
Analysing Performance Problems
(1984)
by Robert F. Mager and Peter
Pipe
Lake Publishing Company,

Annex 4.1b

Format for Preparing Staff Performance Development Needs

Office: District:

Period: From Year:

Performance problems requiring staff development	Name(s) of staff having the problems	Job knowledge, skills and behaviors to be developed	Evaluation of development needs *		
			How important?	When needed?	How to develop?

*** How much important for performance? – MUST HAVE; SHOULD HAVE; NICE TO HAVE,**

- *When is it needed? - URGENTLY; NEXT THREE MONTHS; WITHIN A YEAR*
- *How to develop the competency? – OFF-SITE TRAINING/EDUCATION; JOB-BASED DEVELOPMENT*

Coordinator: ______________________________ **Date:**____________________

Annex 4.1c

A Partial Illustration of Quarterly Summary of Staff Performance Development Needs

Office: ABC Sanstha District: Dhading

Period: From Srawan to Aswin Year: 2063

Performance problems requiring staff development	Name(s) of staff having the problems	Job knowledge, skills and behaviors to be developed	Evaluation of development needs *		
			How important?	When needed?	How to develop?
Supervision reports not being prepared satisfactorily	• Amrit Rai • Narayan Puri	• Supervision report preparation norms • Supervision report writing skills	Should	Next three months	• Performance coaching
Family planning counseling being provided to couples not fully satisfactory	• Dhan Maya • Surya Dahal	• Advanced knowledge of family planning practices • Counseling skills	Must	Urgently	• Study of new materials • Job instruction training
....	.....	....	....	....	....
....	.....	....	....	....	....

** How much important for performance? – MUST HAVE; SHOULD HAVE; NICE TO HAVE,*

- *When is it needed? - URGENTLY; NEXT THREE MONTHS; WITHIN A YEAR*
- *How to develop the competency? – OFF-SITE TRAINING/EDUCATION; JOB-BASED DEVELOPMENT*

Coordinator: ________________________ **Date:**________________

Annex 4.1d

Format for Staff Performance Development Plan

Office: District:

Period: From Year:

Performance development needs	Name(s) of staff to be developed	Performance development objectives	Development actions	Program management		
				Timing	Resource	Responsibility

Coordinator: ________________ **Date:** ____________________

Annex 4.1e

Format for Staff Performance Development Plan

Office: ABC Sanstha District: Dhading

Period: From Kartik to Poush Year: 2063

Performance development needs	Name(s) of staff to be developed	Performance development objectives	Development actions	Program management		
				Timing	Resource	Responsibility
• Supervision report preparation norms • Supervision report writing skills	• Amrit Rai • Narayan Puri	• Supervision report writing norms fully observed and supervision reports written fully satisfactorily.	• Performance coaching	4 weeks in Mangsir	None	Health Coordinator
• Advanced knowledge of family planning practices • Counseling skills	• Dhan Maya • Surya Dhakal	• Understanding of advanced FP practices demonstrated. and FP counseling to the couples given following the prescribed procedures to their full satisfaction.	• Study of new materials • Job instruction training	First two weeks of Ashwin	FP materials to be acquired from the centre.	Health Coordinator

Coordinator: ___________________________ **Date:**___________________

Annex 4.1f

Staff Performance Development Policy

Staff empowerment and development within the organization has twin focuses. It seeks to support the emphasis of the organization on achieving a higher level of staff performance by improving their competencies that are critical for implementing the planned programs and activities.

More importantly, it aims to create conditions for staff members to gain and exercise power and responsibility for achieving better results while enhancing their professional and personal value as individuals for their future growth even beyond the organization.

Staff Development Policies

- All staff members are equipped with necessary authority, resources, information, and skills commensurate with their roles for fully performing their responsibilities effectively and innovatively while pursuing the goal of the organization.

- While the organization emphasizes the acquisition of fully skilled and motivated human resources through its rigorous recruitment and selection program, it recognizes the value of and need for providing a continuous learning and development experience and opportunity for its staff.

- Within the constraints of limited time frame and resources, the organization seeks to offer to its staff a continuous learning environment and opportunity for improving their competencies and enriching experiences for better job performance and also for personal development.

- Much of training and development activities and processes take place in-house in the form of short training programs and one-to-one performance coaching, guidance and feedback. Occasionally the organization may consider sending its staff for local training programs to develop specific skills which cannot be developed from within.

- Staff training and development needs are identified mainly through the performance planning and appraisal process jointly by the supervisor and the concerned employee.

Staff Training and Development Practices

The organization views training and development as a planned learning experience offered to its staff for acquiring and improving competencies that are critical for effective job performance. The organization seeks to arrange such learning opportunities for its staff as far as possible with stress on utilizing regular work setting and processes for learning and developing by all staff members. On a limited scale formal training opportunities are also provided on need basis.

- Review of staff performance plan and appraisal is the main basis for identifying staff training and development needs. The Training Officer compiles training needs of staff on the basis of the development needs indicated in the appraisal form by the supervisor and the employee. Hs/she then prepares a training plan for six month period in the given format to address the needs approved by the Coordinator.

- The organization offers only short duration training to acquire and improve the competency that is critical for effective job performance.

- The organization organizes in-house training to address the identified training and development needs utilizing its own professional expertise and experience as far as possible. Only when in-house expertise and experience is not available, it seeks external supports for addressing staff training and development needs.

- For in-house training, training packages are developed, if necessary with the support of external resource persons, containing curriculum, lesson plans, training resource materials, training guides, and evaluation plan. Such training packages should be reusable.

- The organization staff or officials who contribute to training are trained as trainers before using them in staff training to ensure quality training delivery.

- At the end of each training program staff members are required preparing an action plan to implement the enhanced ability or understanding for improving job performance. The supervisor of the concerned staff closely monitors post-training performance of the trained staff to ensure the utilization of the leaned ability.

- The organization emphasizes on-the-job learning opportunities as part of continuous learning and development of staff. For this senior staffs provide on regular basis performance coaching and feedback, development supervision, challenging job assignments, and thematic seminars and workshops to other staff members. Additionally, the organization makes available to all staff study materials and publications on the relevant topics or issues for self study. Also staff members may be attached to external experts or experienced authorities to learn through guidance while working on special assignments.

Assignment 4.1a

Preparation of Staff Performance Development Approach

Go into your organizational groups. Using the formats given, illustrations presented and principles and methods discussed prepare the followings for your organization. You may make necessary assumptions but try to make them as realistic as possible.

1. Assessment of staff development needs for improved performance (use given formats).

2. Preparation of staff development plan to address the needs identified in the earlier step (use given format).

3. Design of on-site development programs such as performance coaching, performance feedback, OJT etc. identifying the specific activities, steps and timings.

4. Design of utilization plan of the enhanced skills developed through the development plan.

5. Design of development plan to assess the effectiveness of development programs.

Assignment 4.1b

Preparation of Staff Performance Development Policy

Go into your organizational groups. Based on the example staff development policy (Annex 4.1f) prepare a staff development policy for your organization. You may make necessary assumptions but try to make them as realistic as possible.

……….Activity Two

Empowering staff for performance

Time: One hour

Why do this Activity?

This activity helps to design and implement staff empowerment practices for improved performance in the context of NGOs.

Learning Objective

- Design and implement staff empowerment practices for improved performance.

How to do the Activity?

Note Make all necessary preparations before the start of the activity. Open up the activity following the general guidelines for facilitators.

Step 1: 60 minutes

Presentation and discussion Ask participants what kinds of staff empowerment practices and systems do they have in their organizations. Have a general discussion on employee empowerment practices in NGOs.

Explain to participants the concept and practices of employee empowerment based on materials given in Handout 4.2 with the help of visuals. Encourage participants to give examples of each major step and give examples from your experience.

Group Work Divide participants into small groups of their own organization. Give them Assignment Sheet 4.2. Ask them to design some practices for empowering staff members in their organizations based on the ideas given in Handout 4.2.

Plenary

Assemble the groups. Have each group present their findings taking their turn. Discuss the outputs of the group work encouraging each group to clarify, comment, and critique each others findings.

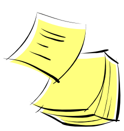
Summarize the key findings based on discussions.

Conclude the activity with summary of key learning points. Assess the learning of participants by asking questions randomly about the key contents covered.

Time out

Materials

- Chart papers, markers, flipchart board, white board, overhead projector and transparencies of visuals.
- Copies of handout for each participant.
- Copies of assignment sheet for each participant.



Handouts

- Handout 4.2: Empowering Staff Performance
- Assignment 4.2: Empowering Practices

Handout 4.2

Empowering Staff for Performance

Concept of Staff Empowerment

Empowerment is a way of *encouraging and allowing individuals to take personal responsibility for improving the way they do their jobs and contribute to the organization's goals*. The purpose of staff empowerment is to *put power in the hands of the people who need it most to get the job done by making decision authority, information, resources and skills readily available to them for superior performance*. It encourages and allows staff to take personal responsibility for improving the way they do their jobs and contribute to the organization's goal.

The key elements of employee empowerment include:

- Delegation of authority
- Capacity development
- Information sharing
- Resource availability

Employees can be empowered at various levels. From most simple to highly intensive, empowerment involves the following levels:

Suggestion involvement: Employees are encouraged to contribute ideas through formal suggestion programs.

Job involvement: Jobs are redesigned so that employees believe that their tasks are significant.

High involvement: By providing access to i*nformation* on all aspects of organizational functioning, developing employee *capacity*, making *resources* available to perform, and giving a*uthority* necessary for performance.

Practices of Staff Empowerment

- Weekly staff meeting to share all relevant information, to discuss on plans, achievements, problems, opportunities, concerns, needs and other issues, and to seek suggestions.
- Creation of a Data Bank and giving access to all staff.

- Timely communication of decisions and other information to all staff.
- Assessment of resource requirements of staff in relation to their roles and responsibilities and preparation of Resource Requirement Plan (RRP) for staff.
- Timely and adequate availability of required resources to all staff as per the RRP.
- Conduction of half yearly staff satisfaction and suggestion surveys to assess their degree of satisfaction with their work and work environment and to seek suggestions from them for improvements.
- Identification of authority requirement of each position corresponding to its roles and responsibilities in the job profile and delegation of necessary authority formally through issuing job profile.
- Encouragement to exercise the delegated authority for taking decisions and actions by the concerned employee.
- Encouragement to experiment and innovate and tolerance for ‘mistakes’ for learning purpose.
- Institution of participatory management culture and practices across the organization.
- Provision of skills enhancement, confidence building and experience enrichment opportunities.

Assignment 4.2

Staff Empowerment Practices

Go into your organizational group. Develop a plan including staff empowerment practices in your organization based on the ideas discussed in the session. You may make necessary assumptions.

Exit Documents

Exit Guidelines

A. Make sure that each participant has completed all the three learning units of this module.

B. Have them take the exit test of the module.

C. Work out the scores of the exit test for each participant. Share the scores with them. Lead a brief discussion on the enhanced competency of the group based on the grades.

D. Assign the remedial actions for those participants who do not perform well in the exit test (i.e. if the score is less than 70 percent). The remedial actions should focus on those learning components of the module in which a participant performs poorly in the exit test. The remedial activities may include repeat study of the related reference materials, repeat exercises or repeat assignments, and individual tutoring by the trainer.

E. Have participants prepare action plans or transfer activities as suggested in this section.

Exit Assessment

The items for the exit test for participants follow in the next pages. The test is compulsory for all participants for the completion of the module.

A. Make copies in necessary number of the test questionnaire beforehand.

B. Administer the test after the completion of the last learning unit of the module under standard conditions. The standard conditions are:

Time:	20 minutes
Modality:	Closed book written test
Type:	Trainer administered

C. Explain the test procedures, including how to answer the questions.

D. Work out test scores of participants immediately after the test. The key to scoring the test items is given in the User Guide.

E. Share the score with participants.

Module Five: Human Resource Management

Exit Test

Answer all 10 questions. The maximum time available is 20 minutes.

Please circle the most accurate answer in the questions below.

Q.1. The core purpose of human resource management is:

e. Developing employees in the organization

f. Getting effective results from people while keeping them satisfied

g. Maintaining good relations with employees

h. Providing good compensation to employees

Q.2. Which of the following is not the type of information that is fed into an organization's Human Resource Information System?

e. Job or career history

f. Qualification and training

g. Disciplinary actions

h. Organization structure

Q.3. Which of the following human resource functions does not use job analysis information?

e. Preparation of strategic plan of the organization

f. Preparation of job description and specifications

g. Selection of employees

h. Training and development of staff

Q.4. Performance standards of a job are defined in:

e. Job specification statement

f. Employee service rules or bye-laws

g. Job description statement

h. Employee welfare policy

Q.5. Human resource planning is an exercise that

e. Determines the remuneration package of employees

f. Identifies the number and type of employees necessary to run the organization

g. Identifies training needs of current employees

h. Analyzes jobs available within the organization

Q.6. Which human resource functions job advertisement is directly associated with?

e. Staff training

f. Staff compensation.

g. Staff planning

h. Staff recruitment

Q.7. Selection is a human resource function that

e. Determines skills development needs of employees

f. Generates a pool of candidates for hiring

g. Matches personal profiles of individuals with job requirements

h. Places new employees on the job

Q.8. Which of the following is the major initial activity in the performance management process?

e. Performance appraisal

f. Performance monitoring

g. Performance rewards

h. Performance goal setting

Q.9. In apprising an employee, the supervisor rates her poorly as she comes from *Dalit* community. What kind of perceptual mistake is it?

e. Hostility

f. Stereotyping

g. Leniency

h. Unclear standards

Q.10. Which of the following is not a staff development and empowerment practice?

e. Rewarding for performance

f. Sharing information with employees

g. Giving performance feedback

h. Performance coaching

Action Plan/ Transfer Activities

The action plan/ transfer activities for the participants are proposed in the next page. The activities are compulsory for all the participants for the completion of the module. However, participants may adapt the activities or change them in view of the specific needs or distinct situations of their organizations. Participants from one organization are to prepare and complete the transfer activities jointly.

- Make copies in necessary number of the action plan/ transfer activity sheet beforehand.

- Hand out the sheet to the participants after the completion of the last learning unit of the module.

- Ask them to work on the planned activities to adapt or change them, if necessary.

- Ask them to complete the blank parts of the action plan sheet.

- Explain the procedures, including how to complete and submit the outputs of the transfer activities. Stress that they should use the learning of the module and frequently refer to its materials and exercises for the completion of the planned activities.

- Agree on the time and mode for the submission of the outputs.

- Evaluate the outputs and give feedback to the participants about their performance in the transfer activities during the follow-up period. Identify and suggest areas for improvements.

Action Plan/ Transfer Activity Sheet

Name of Organization: Name(s) of Participant(s):

Action	Output and Outcome	Time Frame	Responsibility	Support Needed	Remark
1. Preparation/ Revision of Employee Handbook for distribution to employees.	An Employee Handbook is prepared and is distributed to all employees.				
a. Analysis of all existing jobs in the organization and preparation of performance-focused job description and specification statements for all jobs.	Performance focused job description and specification statements for all jobs are prepared and formally given to all employees.				
3. Preparation of a human resource plan for the organization for the next three years.	A ready-to-use human resource plan is available for use to guide key human resource functions.				
4. Design and use of recruitment and selection systems (including schedules, checklists, formats and procedures) for conducting staffing functions of the organization.	Ready-to-use recruitment and selection systems (including schedules, checklists, formats and procedures) are developed and are in place for conducting staffing functions of the organization.				
4. Development of staff orientation program	A comprehensive staff orientation program is developed and used.				
5. Design and use of a performance management system (including schedules, checklists, formats and procedures).	Ready-to-use performance management system (including schedules, checklists, formats and procedures) is developed and is in use.				
6. Development of staff development and empowerment plan and program.	Ready-to-use staff development plan and program is developed and is in use.				

Module Evaluation

The module evaluation sheet for the participants follows in the next page.

- Make copies in necessary number of the module evaluation sheet beforehand.
- Hand out the sheet to the participants after the completion of the last learning unit of the module.
- Collect the completed sheets.
- Compile them and analyze the main findings.
- Use the findings as feedback for improving the module design and delivery in future.

Module Five: Human Resource Management

Module Evaluation

Participant's Name:________________________ Date: ____________________

Rate the various aspects of module design and delivery in terms of how you view them after the completion of the module. The rating scale is as follows:

-- -- very poor; -- poor; + good; + + very good

	Rating	Comments
1. Usefulness of the objectives	[ ]	
2. Mastery of the objectives	[ ]	
3. Usefulness of the contents	[ ]	
4. Progression of subject matter	[ ]	
5. Modular structure	[ ]	
6. Applicability of learning matters	[ ]	
7. Facilitator's supports for learning	[ ]	
8. Opportunity for active participation	[ ]	
9. Quality of the examples	[ ]	
10. Quality of the exercises	[ ]	

User Guide

This section describes how to use the manual for implementing the module. It suggests guidelines for facilitating sessions. It also gives guidelines for scoring the various tests and indicates the correct answers for the tests.

How to Use the Module?

This training module is a part of the modular series on Organization Development Training. Hence it needs to be used together with the other modules in the series, although it can also be used as a stand – alone module for training NGO leaders and managers on the basic dimensions of organization development.

- Familiarize yourself with the contents and the structure of the module by reading the whole module.

- In particular, study the reference materials (handouts) in depth at the beginning for the understanding of the contents in detail. It is quite important for you to understand and absorb the contents before delivering the module.

- The module is organized into several sections. For the first time, read them in the sequence they are organized to be familiar with its structure.

- Read the About the Modular Series on Organization Development section first to get an overall view of the training program of which this module is a part.

- Read the Module Overview then, to get a detailed understanding of the focus and structure of the module. Read the other sections of the module selectively, this time in more detail and as required, absorbing the contents and guidelines presented in the manual.

- Adapt or adjust the various components of the module as designed in this module according to the specific needs of the group of participants you are handling and the particular context of the training program at any time. Take whatever is presented in the module as basic guidelines, and not as something which should be rigidly followed. It is possible, and even desirable, to make adjustments in the learning objectives, time allocation, session flow, exercises, and other aspects of the module design as per the specific needs.

- Make adaptations well ahead of the time of delivery, and document them.

- Prepare transparencies and other visuals for delivering the sessions based on the reference materials. It is important to visualize the presentation of core learning materials as much as possible for enhancing learning effectiveness.

- Make necessary copies of the exercise sheets, entry and exit test documents, participants' assessment sheet, and module and program evaluation sheets well in advance in required number.

- Make other necessary preparations, including the rehearsal of the sessions to build your confidence.

Guidelines for Session Facilitation

- If you have made any changes, note the changes in the session flow sheets at appropriate points. Make further preparations as required.

- Start each session with appropriate greeting, addressing, initial learner motivation/ climate setting activities, and. assessment of previous understanding of the learning theme.

- Make the sessions lively and interesting by bringing in appropriate examples, references, ideas, and facts in addition to what has been suggested in the manuals.

- Refer to the session flow sheets frequently while facilitating the sessions but avoid reading out of the manuals.

- Check time regularly but do not be obsessive with keeping everything within the suggested time frame. The time frame is given only as a suggested length of a particular part of the session. In reality the immediate need of the situation should be given priority. If you change the time allocation in the course of a session, you should however make necessary adjustment for the remaining part of the session to finish the session in time.

- Follow the methods and activities as suggested. But here again you should be flexible and innovative to adapt the methodology to the requirements of a particular situation.

- If you decide to use a different method or activity for a particular part of the learning theme, prepare or change exercise sheet in advance.

- Use the methods properly following all necessary steps and activities. For this you should have a thorough understanding of the basic focus and standard procedures of the method.

- Use the visuals and other supporting materials as much as possible but properly. For this you should have a thorough understanding of the handling techniques and standard procedures of the materials and equipment.

- Assess the learning level of the participants in each session as suggested. You may modify the assessment plan and use additional assessment techniques but make preparation in advance.

- Give feedback to the participants immediately after the assessment.

- During the session delivery, follow these techniques;

  ⇒ Summaries and check understanding from time to time.

  ⇒ Establish links between sub-topics and between sessions.

  ⇒ At the time of moving into another learning sub-topic, give a clue about the topic you will be taking up next by previewing it.

  ⇒ Remind the participants of the previous learning before you take up a new learning topic or sub-topic.

Scoring System of Entry and Exit Tests

Correct Answers

Q. 1 *b*

Q. 2 *d*

Q. 3 *a*

Q. 4 *c*

Q. 5 **b**

Q. 6 **d**

Q. 7 **c**

Q. 8 *d*

Q. 9 *b*

Q. 10 *a*

Scoring

The total mark is 50.

Each correct answer carries 5 full marks. Right answer in each question will get 5 marks. No mark is given for wrong one.