USAID FROM THE AMERICAN PEOPLE | SCALING UP FOR MOST-AT-RISK POPULATIONS

ORGANIZATIONAL PERFORMANCE SUM

# Supporting the HIV Response: A Manual for Civil Society Organizations

## Module 3 CSO Human Resources Management

April 2011

USAID FROM THE AMERICAN PEOPLE | SCALING UP FOR MOST-AT-RISK POPULATIONS

# SUPPORTING THE HIV RESPONSE: A MANUAL FOR CIVIL SOCIETY ORGANIZATIONS

## Module 3

## CSO Human Resources Management

## April 2011

[Page intentionally left blank]

# Table of Contents

Abbreviations ..... 5
Purpose of this Module ..... 7

1. Introduction ..... 9

2. Human Resources Policies and Procedures ..... 9

    2.1 Fixed Period Contracts ..... 12
    2.2 Recruiting and Selecting Staff ..... 14

3. Staff Performance Management ..... 21

    3.1 The Job Description ..... 21
    3.2 Individual Staff Performance Objectives and Targets ..... 21
    3.3 Performance Standards ..... 21
    3.4 Supervision, Observation and Feedback ..... 23
    3.5 Performance Appraisal/Evaluation ..... 25

4. Professional Development ..... 27

5. Conflict Resolution ..... 29

    5.1 Defining the Nature of Conflict ..... 29
    5.2 Dealing with Anger ..... 31
    5.3 Staff Complaints ..... 33

6. Team Management ..... 36

7. Knowledge Management ..... 42

    7.1 Definition of Knowledge Management ..... 42
    7.2 Connecting People to Knowledge and Information ..... 42
    7.3 Connecting People to People ..... 43
    7.4 Organizational Improvement ..... 48

[Intentionally left blank]

# Abbreviations

| | |
|---|---|
| AAR | After Action Review |
| COP | Community of Practice |
| CSO | Civil Society Organization |
| ERA | Expanded readiness assessments |
| FSW | Female sex workers |
| HIV | Human Immunodeficiency Virus |
| HRPP | Human Resources Policies and Procedures |
| IDU | Injecting drug user |
| MARPs | Most At Risk Populations |
| MSM | Men who have sex with men |
| NAC | National AIDS Commission |
| NGO | Non-Government Organization |
| OP | Organizational performance |
| PLHIV | Person/people living with HIV or AIDS |
| RER | Rapid Evidence Review |
| SW | Sex worker |
| TC | Technical capacity |
| TG | Transgender persons |
| UNAIDS | Joint United Nations Programme on HIV/AIDS |
| USAID | United States Agency for International Development |
| WBS | Work Breakdown Structure |

[Intentionally left blank]

# Purpose of this Module

**Introduction**

This module on *CSO Human Resources Management* is a *how to* guide developed to supplement the four core "best practices" manuals prepared by the USAID Scaling Up for Most-at-Risk Populations (SUM) Program for CSOs working in the HIV response. The four core manuals are:

- *Supporting the HIV Response: A Manual for Civil Society Organizations Working with Men who have Sex with Men*

- *Supporting the HIV Response: A Manual for Civil Society Organizations Working with Female Sex Workers*

- *Supporting the HIV Response: A Manual for Civil Society Organizations Working with Transgender Persons*

- *Supporting the HIV Response: A Manual for Civil Society Organizations Working with Injecting Drug Users*

*Version One* of these four core manuals were produced in 2011. They each include sections on organizational performance and technical capacity.

A key challenge for *Version One* was *how much to include* and at the same time keep the core manuals to a reasonable length. The decision was made to focus the core manuals on essential best practices and supplement them with a series of *how to* modules. Modules currently available in Indonesian and English include:

- *Module 1 – CSO Start-Up*
- *Module 2 – CSO Strategic Planning*
- *Module 3 – CSO Human Resources Management*
- *Module 4 – CSO Program Planning*
- *Module 5 – CSO Policies and Procedures*
- *Module 6 – Mobilizing for MARPs*
- *Module 7 –Strategies for Effective MARPs-based Advocacy*

*Version Two* of the four core manuals will be produced in early 2012. Each of the core manuals will be refined and strengthened, benefiting from the results of the 2011 SUM Program expanded readiness assessments (ERAs) in several communities across the country, and from the results of the 2011 SUM Program CSO-specific organizational performance and technical capacity (OP/TC) assessments conducted with a number of CSOs in SUM Program targeted communities.

Also available from the USAID SUM Program are many “how to” organizational performance and technical capacity manuals developed by its predecessor project – the USAID Aksi Stop AIDS (ASA) Project. Throughout the four core manuals these supplemental *how to* materials are referenced as key resources.

Over the coming years, the SUM Program will expand its list of “how to” manuals, technical briefs, and training materials based on needs identified by CSOs and other stakeholders.

The USAID SUM Program manuals and supplemental modules are aligned to the Government of Indonesia National AIDS Commission’s *National Strategy and Action Plan 2010-2014*. A key priority action of the National Strategy is to strengthen the engagement of civil society in the HIV response.

It is the hope of the USAID SUM Program that this *CSO Human Resources Management Module* will help the CSO in strengthening the quality of its programs while at the same time building a satisfying work environment for staff and volunteers.

## 1. Introduction

Human Resource Management includes the hiring and developing of employees so that they become more valuable to the organization. An organization, be it for profit or non-profit, is only as good as the quality of its human resource. Without good human resource, even if the organization has in its possession the other resources in abundance, it is simply impossible for it to achieve its goal(s) and objectives. It goes without saying that without a good human resource management system that is executed well, it will be difficult for an organization to maintain the integrity of its staff, even if many of them are well qualified.

See the adjacent text box for the core competences that are required for human resource management.

Human Resources Management
*Core Competencies*

1) Develop realistic, effective human resource policies and procedures, and a good understanding of the laws governing labor and manpower
2) Recruit the right and qualified staff members
3) Develop comprehensive, result oriented job descriptions
4) Establish and implement an effective, friendly supervision system
5) Establish and implement staff performance management
6) Establish and implement a staff professional development system
7) Manage conflict

## 2. Human Resources Policies and Procedures

Chapter XI Article 108 on Company's Regulation of the Republic of Indonesia Law Number 13/2003 on Manpower reads as follow:

*"Company that employs workers/labors at least 10 (ten) persons is obligated to prepare a company policy/regulation that becomes effective only after it is ratified by the Minister or the authorized official*."

Reading and having a comprehensive understanding of this particular law is important for CSOs that anticipate to growing bigger and need to hire considerable number of staff or workers.

The said law stipulates in Article 111 that:

*(1) The human resource policy shall at least contain:*
*a. The rights and responsibilities of the employer;*
*b. The rights and responsibilities of the workers;*
*c. Job requirements;*
*d. Company's rules and regulation; and*
*e. The period of validity for the regulation.*

*(2) Stipulations in the company's regulation shall not oppose with the existing laws.*

*(3) The period of validity for the regulation shall not be more than two years and must be renewed after it expires.*

It should be noted that what is meant by company includes organizations such as Yayasan.
It is recommended that even if your CSO does not have more than 10 employees, a written organization regulation or Human Resource Personnel Policy and Procedures (HRPP) should still be prepared and shared with the staff. The existence of a written policy will at least avoid ambiguity, and makes it clear for everyone what the rights and responsibilities are of both the employer and the employee, and what are the rules, regulations, and procedures that the employee should obey and follow during his or her employment. Since a CSO is very likely to involve volunteers, the policy should also regulate volunteers that work for the organization.

It should be a standard practice that every new staff hired is given a copy of the HRPP document and required as part of his or her contract and appointment letter that he or she signs a statement such as:

*"I have duly read and fully understand the contents, meaning, and the consequences of the (name of CSO) HRPP that shall govern my employment with (name of CSO)"*

The adjacent page provides an example of the table of contents of an organization's regulations that has been ratified by the Ministry of Manpower.

In addition to the human resource policy and procedures, one document that is very important in human resource management is the employment contract that a CSO should enter with its staff. Law No.13/2003 also has stipulations on how the employment contract or agreement should be drawn (Article 55).

An employment contract or agreement should at least contain:

a. Name and address of the organization and its line of business
b. Name, sex, age and address of the employee
c. The position title or type of job
d. Location of Job
e. The amount of wage or salary and how payment will be made
f. Job requirements that include the rights and responsibilities of both the employer and the employee
g. The starting date and period of employment
h. The place and date of the signing of the contract or agreement
i. Signatures of both the employer and the employee.

**Example -- Table of Contents of an Organization's Regulations**
**(Ratified by the Ministry of Manpower)**


1. Introduction
2. Work hours
   - 2.1 Work hours
   - 2.2 Overtime/compensation time
3. Job Requirements
   - 3.1 General information
   - 3.2 Procedure
   - 3.3 Interviews
   - 3.4 Follow up
   - 3.5 Pre-appointment
   - 3.6 Orientation
   - 3.7 Probationary period
   - 3.8 Employment status (Regular or Part-timer)
   - 3.9 Performance Evaluation
   - 3.10 Promotion
   - 3.11 Staff development
   - 3.12 Staff Transfer
   - 3.13 Termination
4. Remuneration
   - 4.1 Policy
   - 4.2 Wage
   - 4.3 Reporting system
   - 4.4 Payment
   - 4.5 Salary withheld
   - 4.6 Salary increase
   - 4.7 Overtime payment/compensation time
   - 4.8 Lebaran/Xmas benefits
5. Fringe Benefits
   - 5.1 General
   - 5.2 Health program
   - 5.3 Jamsostek
   - 5.4 Education and Training
   - 5.5 Paid salary during extended illness
   - 5.6 Benefit at time of separation
   - 5.7 Transfer allowance
   - 5.8 Salary advance
6. Leave
   - 6.1 General
   - 6.2 Annual leave
   - 6.3 Unused annual leave
   - 6.4 Sick leave
   - 6.5 Menstruation leave
   - 6.6 Maternity leave
   - 6.7 Abortion leave
   - 6.8 Condolence leave
   - 6.9 Fully paid leave
   - 6.10 Leave without pay
7. Code of Conduct
   - 7.1 Equal Opportunity
   - 7.2 Anti-abuse
   - 7.3 Apolitical policy
   - 7.4 Ethics
   - 7.5 Code of conduct and work performance
   - 7.6 Conflict of Interest
   - 7.7 Use of alcohol and drugs
8. Disciplines
   - 8.1 General
   - 8.2 Non-disciplinary conduct
   - 8.3 Absenteeism
   - 8.4 Suspension
9. Dispute resolution procedures
10. Closing

It is crucial that the CSO management closely study the Law No.13/2003 to familiarize itself with the relevant stipulations and follow them as much as possible.

### 2.1 Fixed Period Contracts

Most CSOs do not have the capacity for hiring **regular** staff and they resort to fixed period contracts. Most, however, do not fully follow the law regulating such employment relationships. The relevant stipulations in Law No.13/2003 are presented below:

*Article 56*
*(1) Employment agreement is made either for a definite or indefinite period of time.*
*(2) Employment agreement for a definite period of time as per point (1) should be based on:*
*a. a fixed time period; or*
*b. the completion of a particular job*

*Article 58*
*(1) A fixed period employment agreement can not include any probationary period.*
*(2) When a probationary period is required in a fixed period employment agreement as referred to in point (1), the probationary requirement becomes null and void for the sake of the law.*

*Article 59*
*(1) A fixed period employment agreement can only be made for certain jobs that by its nature and type or activities are to be completed in a certain period of time, i.e.:*
*a. a one time job or temporary in nature;*
*b. jobs that are estimated to finish in a not too long of a time, 3 years at the longest;*
*c. seasonal jobs; or*
*d. jobs related to new product, new activities, or additional product in a trial phase..*
*(2) Fixed period employment agreements are not allowed for regular type of jobs.*
*(3) Fixed period employment agreements can be extended or renewed.*
*(4) Fixed period employment agreement based on a fixed period of time can be made for 2 (two) years at the most and can only be extended once for 1 (one) more year.*
*(5) Employer wishing to extend the fixed period employment agreement, should have informed the employee of his/her intention in writing at least 7 (seven) days before the end date of the existing agreement.*
*(6) Renewal of a fixed period employment agreement can only be made after a gap period of 30 days after the end of the previous agreement, and this renewal can only be done once, with the longest period of two years.*
*(7) Any fixed period employment agreement that do not meet the stipulations as per point (1), point (2), point (4), point (5) and point (6) will for the sake of the law become an indefinite employment agreement.*

## 2.2 Recruiting and Selecting Staff

As a CSO with an HIV response program, there are two types of staff that you may need to recruit. The CSO office staff, that typically should be regular staff, such as Finance Manager, Accountant, Secretary, Receptionist, etc., and program staff that will mostly be on fixed period employment as per the needs of the program. Indeed, you may need regular program staff as well, such as the CSO Program Manager, who develops the program if you do not have one (or the CSO can hire a part-time program development consultant, rather than having a regular staff assuming the position).

The responsibilities and tasks of regular office staff are very much standardized, as are the qualification requirements, such as computer skills, accounting skills, administrative skills, etc. The qualifications for program staff are not as standardized as the regular staff since these are dictated by the program activities.

The steps required for the recruitment of program staff may include:

1) Conduct a job analysis and define positions required
2) Develop a job description for each position required
3) Create and "publish" a job announcement or advertisement after defining the requirements
4) Form a small recruitment committee
5) Shortlist applicants
6) Conduct interviews and/or test if necessary
7) Make a decision on selection and offer the position to selected candidates
8) Sign employment contract
9) Conduct orientation and training

The following is brief description of each of the above steps:

### *1. Conduct job analysis and define positions required*

It is helpful to develop a Work Breakdown Structure. The WBS should help you in defining all the tasks required and how those tasks should be handled, which may lead to defining the types of positions required for your program. This is best done together with other relevant people in the organization. The size of your program and its geographical spread would dictate how many people should assume a particular position. The important consideration that dictates program staffing is the amount of funding available. For example, you may need (or have funding for) several, just a few or only one or two outreach workers. Once it is clear the number of outreach workers in your program, you should then decide if you need a supervisor(s) or coordinator(s) to them support and manage them.

The job analysis should collect information on the following areas:

- Requirements**,** i.e. the knowledge, skills, and abilities required to perform the job. While an incumbent may have higher knowledge/skills/abilities than those required for the job, a job analysis typically only considers the minimum requirements to perform the job.

- The frequency, time (such as may need to work at night), duration, efforts, complexity, equipment required, standards of tasks or activities that should be carried out.

- The **environment** in which the tasks or activities should take place. This may have a significant impact on the job performance. It may include special conditions or situations such as brothels or localization of FSW.

- Contacts or relationship, i.e. who the incumbent should be in contact or relate with, such as certain groups with special attitude and behaviors, level of education etc.

- **Tools and Equipment**. Some duties and tasks are performed using specific equipment and tools. If the position requires the incumbent to ride a motorbike, drive a vehicle or use certain equipment, such as protective clothing, etc., these requirements need to be considered in a job analysis.

**2. *Develop a job description for each position required***

It is ideal to have program staff develop their own job description, especially at the end of the program orientation and training. If you choose this approach, the job description for the recruitment purpose may be developed in the brief format, or in the "task oriented" format, rather than the recommended "result oriented" one. Otherwise, if you have developed a complete and comprehensive job description, simply do not show it to your new staff and run the job description development exercise with the new staff. Compare what they produced and the job description that the CSO has developed.

***3. Create and "publish" a job announcement or advertisement after defining the requirements***

Announcing the vacancies in your organization publicly is not only important for spreading the word as widely as possible, but is also good for the equal opportunity employment policy. There are different ways of announcing job vacancies, from the costly one to those that are free and yet could be even more effective:

- Place an advertisement in newspapers or other media. This approach is probably the most expensive mode and has the risk of receiving an abundance of applications that will then need to be reviewed and short listed

- Place an advertisement on the Internet. There are website specializing in advertising jobs in development for free
- Announce via email to other organizations (e.g., other NGOs)

- Network. Ask people you know who likely have connections to potential candidates to spread the word that you need people with certain qualities etc. (This in fact could be the most effective mode.)

- Directly contact individuals you know as potential candidates. (This may be considered as "head-hunting" or "poaching" if the person you want to attract to your organization is already employed.)

- Encourage your existing staff to apply, especially if the position(s) offered represent a promotion to higher positions for your existing staff

### *4. Form a small recruitment committee*

Forming a small recruitment committee is a good way to avoid subjective recruitment results. It is best to avoid a recruitment process that is carried out by just one person throughout the process. Should there be not enough persons that have the capacity to interview among the staff, involving the Board of Directors may be an alternative.

The committee should be in charge of:

- Preparation and placement of the vacancy announcement
- Reviewing the applications and shortlist them based on the set requirements
- Discuss the short-listed applicants with management as necessary
- Schedule the interviews and send the invitations for interviews
- Conduct all administrative requirements when the applicants come for interviews
- Produce an overall report on the results of the interviews based on the interview results produced by the interviewing team

### *5. Shortlist applicants*

When the job announcement is advertised in newspapers it is likely that you will receive many applications and most are likely to be from those who do not meet the qualifications required. It is therefore important that in the announcement or advertisement you put wording such as *"only those short-listed will be notified"* to reduce your work. Short-listing the candidates down to less than 10 (the shorter the better) for each position is a good idea. You may want to tell the committee to short list the applicants into, for example, three categories, such as 1) strong candidates, 2) potential candidates and 3) not-qualified.

Do not be surprised if among the strong candidates there are those who are overqualified. These individuals may be best suited to the position, but they may be too expensive already for you. For these people, it may be worthwhile to call them and find out especially whether they are willing to accept the salary level that you already set for the position. Otherwise, it may only create disappointment and waste of your time to call them for interviews.

### *6. Conduct interviews and/or test if necessary*

It is always a good idea to form an interview panel that consists of 2-3 persons to conduct the interviews. More than three interviewers at the same time for one interviewee will be overwhelming. The interviews may also be conducted in two phases, one with the panel to screen out the prospective candidates, who will then be interviewed by the senior management.

What are we assessing during the interview?

If the applicant is one with working experience and/or is currently working, you may want to ask questions about his current or previous job, such as:

- Name of organization, position title and description, dates of employment
- Do you like the organization? If not, why? If yes, why do you want to leave?
- What was your starting position and when?
- What were your responsibilities?
- What major challenges and problems have you faced? How did you handle them?
- What did you like or dislike most about your previous job?
- What was most rewarding about it? Least rewarding?
- What was your biggest accomplishment in this position? Any failures?
- Questions about the candidate's supervisors and co-workers, for example: What was it like working for your supervisor?
- What do you expect from a supervisor?
- Who was your best boss and who was the worst? Why were they as such?
- What is the main reason for you to leave your job?
- What have you been doing since your last job?
- Why were you fired? (Rarely would any applicant admit that they were fired though.)

Other questions about the individual:

- Tell me about yourself
- What kind of a person do most people near you perceive you as being?
- What kind of a person do you want to be known as by people around you?
- Do you know what your colleagues and friends dislike or criticize about you?
- Do you know what your colleagues and friends like most about you?
- What motivates you?
- What is your greatest strength? Why do you think so?
- What is your greatest weakness?
- Describe your typical work week.
- Do you take work home with you?
- Do you often work beyond the normal work hours? Are you forced to or is it because you like it?

- How would you describe the pace at which you work?
- How do you handle stress and pressure?
- What do you consider as your biggest achievement in life?
- What has been the greatest disappointment, if any?
- What do you find are the most difficult decisions to make?
- Do you prefer to work independently by yourself or in a team? What is a team to you? Give an example of your contribution to a successful teamwork.
- Do you have an obsession? What is it? Why?
- What was it that make you most angry? What happened?
- What would you do when you know your boss is definitely wrong about something?
- Etc.

Questions related to the job offered and your organization:

- What is your understanding about this job? Why do you want it?
- What applicable attributes and experiences do you have? How or what will you contribute to this organization (or program)?
- Do you think you are under-qualified, just right or overqualified for this job? Why?
- What do you know about this company?
- Questions about HIV related issues
- Questions about willingness and whether feel comfortable working with MARPs
- What are good communication skills?
- Questions related to behavior change and related issues
- Questions related to the stigma against MARPs and HIV
- What do you expect to gain from this job if we offer it to you?

Of course, you wonder if you need to ask all these questions above. The answer is it is all up to you. An interview is a process to assess whether an interviewee is the right candidate – knowledge, personality, and interest and motivation. These questions are the most common ones asked by interviewers but not all interviewers necessary use all the questions, which may otherwise take one to two hours. You should be able to select the questions that you think will help you find what you want to know. Job interviews are more of an art than anything and you need to be experienced to do it well. A good, well experienced interviewer would know from just asking several questions if the candidate is a prospective one, and therefore will keep asking questions, or not a good fit for the position.

One important thing that you should do initially in an interview is try to make the interviewee relaxed and not feel influenced or threatened by his or her surroundings.

Do not forget to give opportunities for the candidate to ask you questions. Their questions will mostly be about the job itself, the organization's benefits and so on.

To reduce the interview time you may want to do a quick test while the candidate waits for his or her turn for interview. A multiple choice question about technical issues related to HIV and

MARPs is a good way to judge their knowledge and perception, which may be confirmed during the interview. See an example of an interview form on the adjacent page.

A more attractive form of a test is to conduct a simulation, which is suitable when you have several prospective candidates from which you should select only one or a few. Conducting a small focus group discussion, for example, using questions related to the job will show you how your candidates behave in a discussion, their communication skills, their knowledge of the issues discussed and even their logical thinking capacity. Otherwise, you may want to have each prospective candidate make a presentation of something related to the job that is offered, with all other prospective candidates attending and encouraged to ask questions.

### *7. Make a decision on selection and offer the position to selected candidate*

The decision to hire any of the prospective candidates is in your hands. But, if possible, make a team decision. Or, if you are the manager who will make the decision, consult with your staff on who should be hired, describing the strengths and weaknesses of each of the candidates, and the pluses and minuses for the organization of hiring a particular candidate.

It is a good practice to make the offer by calling the selected candidates on the phone, giving them the good news and what the next steps would be, and giving them the opportunity to ask questions. The next step will be to send the selected candidate an offer letter, one that simply give the candidate your decision to hire him/her plus the amount of salary offered, the benefits and when you expect the candidate to start working.

Normally the offer letter should have a space where the candidate must sign to signify his/her acceptance of the offer; and a request that the signed offer letter should be returned to your CSO by such and such date as appropriate to your schedule. It should be noted, however, that certain organizations may chose not to use an offer letter but directly send the candidate a contract/agreement to sign, or ask the candidate to come and sign the contract/agreement.

Sometimes an organization just uses the offer letter without preparing a more formal agreement/contract to sign.

# Example of Interview Form

**LOGO and Name of the CSO**

| Name of Candidate | : _____ | Interview Date | : _____ |
|---|---|---|---|
| Division | : _____ | Interviewer | : _____ |

**Rating** : 1 = None, 2 = basic/already, 3 = Good, 4 = Excellent

| **Competence Area** | **Score** | | | | **Remarks** |
|---|---|---|---|---|---|
| **Technical Competence** | | | | | |
| • Knowledge of HIV | 1 | 2 | 3 | 4 | |
| • Experience if community work | 1 | 2 | 3 | 4 | |
| • Experience in Adult Training | 1 | 2 | 3 | 4 | |
| • Experience in NGO work | 1 | 2 | 3 | 4 | |
| • Knowledge of behavior change | 1 | 2 | 3 | 4 | |
| **Human Competence** | | | | | |
| 1. Leadership | 1 | 2 | 3 | 4 | |
| 2. Team Work | 1 | 2 | 3 | 4 | |
| 3. Communication: clarity, articulation | 1 | 2 | 3 | 4 | |
| 4. Flexibility (program, hours etc) | 1 | 2 | 3 | 4 | |
| 5. Commitment | 1 | 2 | 3 | 4 | |
| 6. Creativity | 1 | 2 | 3 | 4 | |
| **Others** | | | | | |
| 7. Relation with other community/ government/ NGO | 1 | 2 | 3 | 4 | |
| 8. English | 1 | 2 | 3 | 4 | |
| 9. Writing Skills | 1 | 2 | 3 | 4 | |
| 10. Organization Skills | 1 | 2 | 3 | 4 | |
| 11. Flexibility to travel | 1 | 2 | 3 | 4 | |
| 12. Salary Expectation | 1 | 2 | 3 | 4 | |
| 13. References | 1 | 2 | 3 | 4 | |

**CONCLUSION AND COMMENTS**

| **Interviewer** | **Interviewer** |
|---|---|
| Comments | Comments |
| Signature | Signature |

For those candidates who submitted and application and were not short listed, you have the obligation to give written notification that they were not being selected for the job. There is no need to give them lengthy reasons for not making the shortlist. Simply state that another candidate was deemed more suitable for the position.

### *8. Sign employment contract*

Chances are that as a district-level CSO your selected candidates will come from the same district, in which case you can ask the candidates to come and sign the employment contract or agreement. Otherwise, for those coming from out of town or another district, you will need to mail the contract to sign. Someone should make sure that new staff is given a copy of the HR policy and procedures manual to read and understand. He or she should be encouraged to ask clarification questions.

An employment contract should at least contain the following:

- Date of contract/agreement entered
- Full name and complete address of the employee
- Name of the organization and complete address
- Statement of both parties agreement to enter the contract
- The appointment (the position or title that the employee is assigned to)
- The period of the contract
- The scope of work (simply refer to the job description), stated as being an attachment and part and partial of the contract
- Performance of duties: a general statement that the employee will work professionally following laws, rules and regulations, etc., and that the CSO will review the deliverables, and evaluate the employee's performance, etc.
- Reporting: who the employee reports to
- The salary and how the payment will be made (should also include tax deductions)
- The employee's rights and benefits (refer to Human Resource Policy and Procedures Manual)
- Termination of employment (refer to same)
- Legal Agreement (statements that the agreement is governed by the relevant laws and the CSO policies)
- Acceptance of agreement – a statement of acceptance of the agreement by the employment candidate
- Signatures of both parties and initials on each page of the contract

## 3. Staff Performance Management

The ultimate objective of staff or employee performance management is to ensure that the organization's goal(s) and objectives are being achieved in the most effective and efficient manner.

When does staff performance management start?

Staff performance management starts from the time the job description is created, since the job description is the roadmap for staff assuming the position to meet the organization expectation of his/her performance. This is especially true for the "result oriented" job description, but may not necessarily be the case with the "task oriented" one. Indeed, the job description is the first tool to be used in staff performance management. What are the tools normally used in performance management? They are:

1. The job description
2. Individual staff performance objectives or targets
3. Performance standards
4. Supervision, observation and feedback
5. Performance appraisal/evaluation
6. Professional/performance development

### 3.1 The Job Description

See 2.2 above and the development of the job description.

### 3.2 Individual Staff Performance Objectives or Targets

In addition to the job description, it is a good practice for the CSO management to require each staff member to develop his/her own annual individual performance objectives and his/her personal (yet job related) aspirations. The latter should be related to the staff's professional development (an example for an outreach worker may be "mastering training facilitation skills," which may not necessarily be his/her direct responsibility yet is still related to the job). The preparation of these individual objectives/targets should be done by the staff in consultation with or reviewed by his/her direct supervisor.

The achievement of these personal objectives and the results/responsibilities contained in the job description should be evaluated annually as part of the annual performance appraisal.

### 3.3 Performance Standards

What are performance standards? Performance standards provide the employee with specific performance expectations for each activity or major duty. They are the observable behaviors and actions which explain **how** the job is expected to be done. They tell the employee what a good job looks like. The purpose of performance standards is to communicate expectations.

There are performance standards that are very detailed and specific, while some others are just talking points with the specificity defined in the discussion. Performance standards are needed since in reality good performance always involves more than merely technical expertise. Employers also expect certain behaviors (e.g. friendliness, helpfulness, courteousness, punctuality, etc.) to complement skills and technical expertise. More often than not such behaviors are more important determinants for whether someone's performance is acceptable.

Performance standards are:

- Based on the position (e.g. performance standard for receptionist), not the individual
- Observable, specific indicators of success
- Meaningful, reasonable and attainable
- Description of "fully satisfactory" performance once trained
- Expressed in terms of Quantity, Quality, Timeliness, Cost, Safety, or Outcomes

**Example: Some Performance Standards for a Receptionist**

- Greet visitors
    - Always wear proper attire
    - Consistently conveys courteous, friendly, helpful, professional manner
    - Provide accurate information
    - Demonstrates a customer service orientation
    - Secures back-up for times of absences from desk

- Answers phone
    - Answers with standard greeting in friendly, polite tone, e.g., "Good morning, this is 'CSO' office. Can I help you?"
    - Speaks clearly and distinctly
    - Never chews anything while speaking on the phone
    - Uses all functions of phone (hold, transfer, etc.) in skilled manner
    - Takes messages accurately and completely
    - Never make callers waiting too long to get connected

Other than performance standards that are specific to certain duty or positions, there may also be performance standards and behaviors that are expected to be observed by everyone. Some examples of these common standards are listed below:

- Works effectively with others
- Actively contributes to the achievement of group and organizational goals
- Accepts shared responsibility and ownership of projects
- Maintains open communication among team members
- Utilizes strengths of individuals within group to the benefit of the team
- Develops and implements ideas, products or solutions to achieve goals
- Seeks and provides unique/different perspectives to opportunities

- Analyzes and solves problems within realistic time frames
- Makes timely and effective decisions on the basis of available information
- Involves the appropriate people in defining and resolving a problem
- Supports decision with facts and rationale
- Be a good listener - listens actively to others
- Give subordinates the opportunity to explain his/her case
- Asks appropriate questions for clarification
- Gives and receives feedback
- Accept criticism with positive open attitude
- Encourages and is receptive to suggestions and solutions from others
- Recognizes and manages conflict effectively
- Report problems immediately to supervisor
- Always be on time in everything we do
- Working long beyond office hours is a tardiness to avoid except in unusual situation

### 3.4 Supervision, Observation and Feedback

Often time people combine the term "supervision" with "monitoring." What is the difference between monitoring and supervision? Monitoring is oriented more toward the performance of the program – whether activities have been implemented on time, use the planned resources, involve the right target groups, etc. Supervision on the other hand is more concerned with the performance of the human component, the individual(s) who implement the activities. That is why we put supervision under the realm of performance management.

What is supervision? First thing to know is that supervision is not about looking for mistakes. Supervision is basically the activity carried out by supervisors or higher level officers to ensure that the staff who directly reports to the supervisor performs the task in the manner that is productive, effective, efficient, and of the acceptable quality meeting the expected standards and target. Supervision is about giving directions and providing support. It is motivating people to do their best. A supervisor conveys information and directives from upper management and/or from the program design to the staff that he/she supervises and ensures that they are implemented correctly and timely etc.

Supervision can also defined as **an art**, or process, by which designated individual or group of individuals oversee the work of others and establish control to improve the work and as well as the workers also.

Supervision is needed to identify and address performance problems among his/her staff that may result from the following:

- Lack of skills
- Lack of Information
- Motivational Issues

- Personal Issues
- Environmental Issues

Therefore the supervisor role should be that of all of the following at the same time:

- Role Model
- Teacher
- Mentor
- Motivator
- Coach

The responsibilities of a supervisor (and these should also be the responsibility of the CSO management, of course) are to:

- Communicate and clarify major job duties, priorities, and expectations
- Establish and communicate performance standards
- Monitor employees' performance through observation, discussion, etc.
- Document good and unacceptable performance
- Provide continuous coaching and constructive feedback in a timely manner
- Hold performance discussions (at least annually)
- Correct poor performance and reinforce good performance
- Help employees to develop skills and abilities for improved performance
- Provide necessary information, resources, and opportunities to help accomplish key objectives

So, how can we give directions and provide support? Personal contact: it is only through personal contact between the supervisor and the supervisees that supervision can be done effectively.

Personal contact between supervisor and supervisees may take place formally and informally. Formal contacts are in the form of meetings (e.g., staff meetings, program meeting) with the agenda directed to supervision purposes, such as routine (weekly, biweekly, monthly) progress reporting meetings, as well as when the supervisor conducts observation or inspection. Informal contacts can take place such as during lunch time, staff gatherings, etc., where opportunities to discuss work can be inserted casually in the middle of other conversations.

The more effective supervision is likely to take place when the supervisee does not feel under pressure or even threaten, but more of being given the attention and appreciation that he/she deserves. Criticism, therefore, should normally be extended more as suggestions, although when it has reached to a certain intolerable level, a supervisor should not hesitate to give warnings.

The current thinking in the human resources field is that frequent informal and formal feedback sessions – positive feedback to reinforce good performance and negative feedback to correct

poor performance – is best, not only for staff development but also for the performance of programs and services.

### 3.5 Performance Appraisal/Evaluation

It is best to conduct the more formal performance appraisal at a minimum of twice per year – by end of the mid-year and at the employment anniversary or simultaneously for all staff. (See the below example, *The Performance Management Cycle,* from the University of California-Berkeley).

Performance appraisals can be done using all the three tools described above and many organizations are using a participatory approach, which includes:

- Self-appraisal by the employee
- Evaluation by peers
- Evaluation by supervisors

*Self-appraisal by the employee*

The simplest way to do self-appraisal by the employee is to provide the job description and ask the staff member to score his/her own performance relative to each responsibility, using all the tasks involved for consideration.

It is also a good idea to provide space for comments for each of the responsibilities, for which the individual should write:

- What he/she thinks the reasons for his/her accomplishment (be it high or low, and the external or internal factors)
- What he/she plans to do to improve (even further) his/her performance
- What he/she expect his/her supervisor to do to help or facilitate improved performance

The self-appraisal form should also provide a space for the individual to put what he/she aspires in professional development, such as a special training or learning opportunity.

*Evaluation by peers*

Evaluation by peers is not always used, but if it is the information gathered should be from more than one peer and should be reviewed with a degree of caution. Use the information has a way to better understand how others on staff or in the team perceive the individual's professionalism and teamwork. However, It is better not to use the information when determining a salary increase, e.g., the annual performance appraisal is commonly tied to merit salary increment).

*Supervisors evaluation*

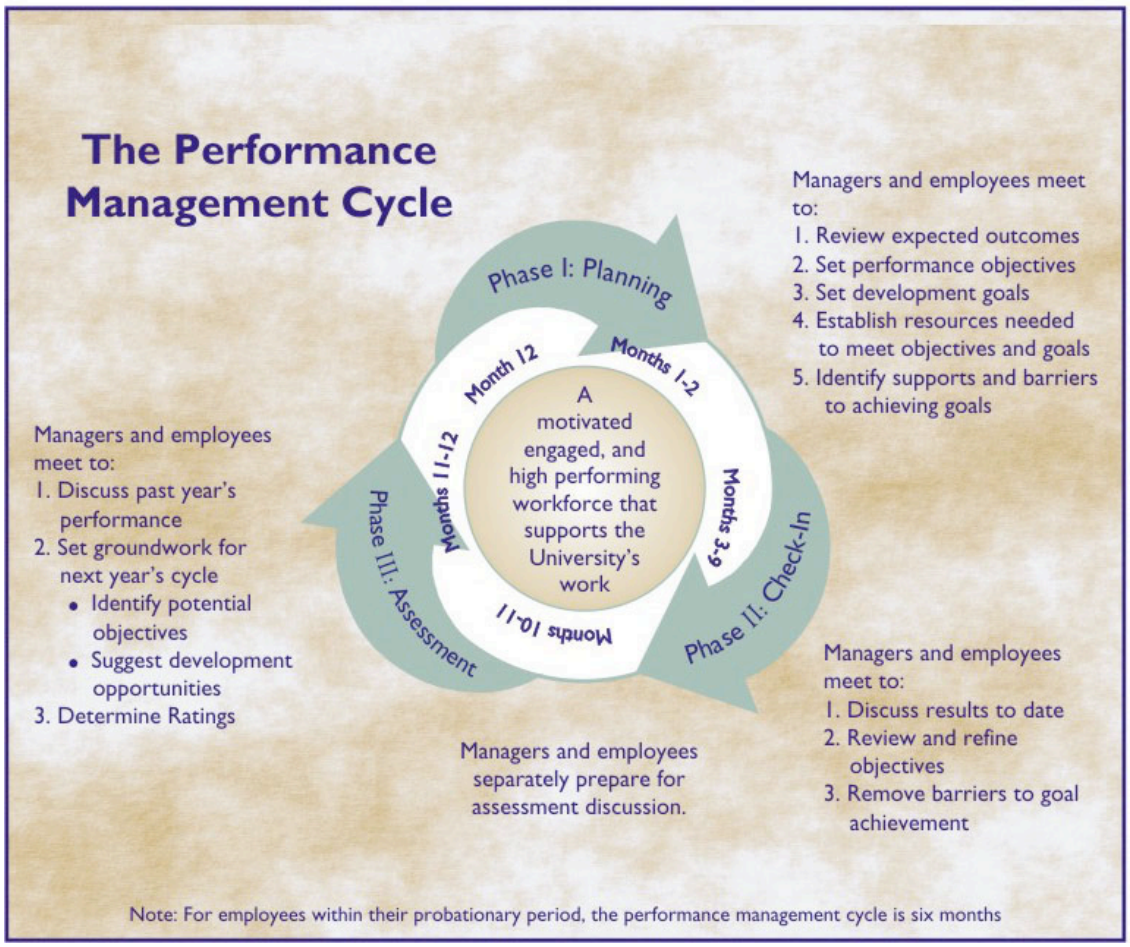
The direct supervisor should be responsible for appraising the staff, although there are cases where a supervisor higher in the organization is also involved. Similar to the self-appraisal, the supervisor should give comments on:

- What the supervisor thinks are the reasons for the individual's accomplishment (be it high or low, either external or internal factors)
- What the supervisor recommends to do for the individual to improve (even further) his/her performance
- What the supervisor will do to help or facilitate the individual to improve

The staff annual appraisal form should also have a section on the adherence by the staff member to the performance standards, both general and job-specific standards.

The participatory appraisal process described above is ideal but is not always easy to practice. In many, if not most, cases the annual performance appraisal is only a formality to give an annual merit increase that is expected by all staff.

The University of California at Berkeley provides on its website an interesting diagram (see below) that depicts the cycle of performance management in one year. [http://hrweb.berkeley.edu/perfmgt/perfmgtcycle.htm]




## 4. Professional Development

One of the biggest and most valuable assets that an organization can possibly possess is highly capable and dedicated employees and volunteers who are eager to improve their performance. One way to retain this asset is with a good and dynamic staff development program. Wikipedia defines **professional development** as skills and knowledge attained for both personal development and career advancement. Professional development encompasses all types of facilitated learning opportunities, ranging from college degrees to formal coursework and conferences to informal learning opportunities presented as part of the organization's day-to-day practice.

A professional development program should begin on day one of employment. A new employee should start learning as soon as he/she steps into the CSO office and begins an orientation that is planned and organized. Orientation for any new employee is normally two pronged – orientation about the organization and about the individual's specific job.

Orientation about the organization includes:

- Introduction to the office setting
- Introduction to all staff members
- Orientation on all the systems used by the CSO, especially those that may relate to the execution of the new employee's job, such as the financial system, HR management, the telephone system, the LAN system etc. Providing this information may be best done by a direct briefing by the person in charge of each department.

Program orientation and training may include:

- Reading all program reports, manuals and other documents specific to the job
- Talking to program leaders about key aspects of the program (to build a comprehensive understanding) even if the new staff member is only involved in one specific task
- A mentoring relationship between the new staff member and an experienced colleague who is or has performed the same task, so he/she has the opportunity to learn from the experienced staff member about the field activities and realities.

A good, effective orientation should result in:

- The new employee gets quickly up to speed and begins making a valued contribution
- Little disruption to the work of the other members of the team
- A positive feeling by the new employee that he/she is 1) in a safe new working environment, and 2) valued by the new organization
- Increased likelihood that the employee will stay with the organization and be successful

It is understandably unrealistic to expect a district-level CSO to provide more formal professional development opportunities, such as a college degree, since the financial consequence is simply beyond the capacity of most CSOs. Nevertheless, there are indeed opportunities available for aspiring individuals who want to, for example, study overseas on scholarship, where part of the requirement to qualify is to work for the public good, such as a CSO working in the HIV response.

The fact that most professional development opportunities have a financial consequence should be considered by the CSO management when preparing budgets. Some funders recognize this need and allow the budgeting of staff development costs in the requested grant. Otherwise, CSOs should open their eyes and ears and seize any opportunities that may surface, be they in the form of free workshops, seminars or conferences, or other learning opportunities that will broaden their horizon and provide different perspectives from what they already know.

Some example of approaches to professional development provided by Wikipedia include: (http://en.wikipedia.org/wiki/Professional_development)

- **Case Study Method** – An approach in which employees are presented with a case study that puts them in the role of a decision maker facing a program-related problem.

- **Consultation** – A meeting with an individual or group of individuals to clarify and address immediate concerns.

- **Coaching** – A supervisor or technical specialists provides a process of observation, reflection, and action recommendation aimed at enhancing a person's competencies in a specific skill area.

- **Communities of Practice** – People who have a common goal come together in meetings to discuss ways to improve professional practice by engaging in shared inquiry and learning.

- **Lesson Study** –Sessions and other opportunities to participate with other professions to solve practical dilemmas related to an intervention or existing or upcoming activity.

- **Mentoring** – Supervisors or technical specialists promote an individual's awareness and refinement of his or her own professional development by providing and recommending structured opportunities for reflection and observation.

- **Technical Assistance** – Outside technical resources and information that assists individuals and their organization with networking and change efforts.

The writer of this module has also experimented with what is called "Internal Learning Forum," wherein a member of the staff who has better knowledge of an area related to the organization's work, e.g., behavior change communication, gives a talk on the topic area that is attended by staff interested in the particular topic. This approach is challenged, however, despite the enthusiasm of staff members, by scheduling and timing issues – everyone available when it is most opportune for the program do conduct the forum.

For a CSO the heart of the matter is how you can provide meaningful professional development opportunities and activities to your staff using whatever financial capacity your organization has in its possession.

## 5. Conflict Resolution

### 5.1 Defining the Nature of Conflict

Conflict occurs over differing ideas, opinions, needs and wishes. It is neither good nor bad in itself; it simply is. The outcome of a conflict situation is positive or negative, based on how it is managed. It is up to you to deal with the conflict situation quickly, wisely and professionally.

You may prefer not to interfere when there is an argument between staff members over a minor issue, but oftentimes it continues and gets bigger or more personal. When conflict spills over to others, e.g., when there are followers involved, and begins to affect performance and productivity it is time for the management or senior staff to intervene. Conflict can be very positive and a blessing, for example, in bringing spirited debate to an issue that leads to an innovative solution. Even conflict that involves negative emotions can have a positive outcome if it is manage and resolve in a transparent manner. It may strengthen your CSO or the specific program when the problem is corrected properly. Conflicting opinions or views forces you to learn more about yourself, explore others' views and develop relationships. Clear and open communication is the key to successful conflict resolution.

Conflict resolution (some call it conflict management) is not about deciding who is wrong or who is right. Successful conflict resolution results in everyone involved accepting the solution. In other words the best conflict resolution is one that is a win/win in nature. To be successful in managing conflict in your CSO or program, you will need to be a good communicator – a good listener with good question asking skills. It also helps if you know how to be tactful in relaying messages to those in conflict so as not to create further misunderstanding that worsens the conflict. You will need to create an open environment that encourages people to speak openly yet unemotionally about the issues.

Through skillful conflict management, you have the chance to:

- Gain cooperation from team members
- Improve performance and productivity
- Reduce stress and preserve integrity
- Solve problems as quickly as possible
- Improve relationships and teamwork
- Enhance creativity
- Increase staff morale

The University of California-Berkley website previously mentioned (http://hrweb.berkeley.edu/guide/conflict.htm) also provides some very good tips that you can use when faced with employees who can't resolve their own conflicts. Tips include:

- **Acknowledge that a difficult situation exists**. Honesty and clear communication play an important role in the resolution process. Acquaint yourself with what's happening and be open about the problem.

- **Let individuals express their feelings**. Some feelings of anger and/or hurt usually accompany conflict situations. Before any kind of problem-solving can take place, these emotions should be expressed and acknowledged.

- **Define the problem**. What is the stated problem? What is the negative impact on the work or relationships? Are differing personality styles a part of the problem? Meet with employees separately at first and question them about the situation.

- **Determine underlying needs**. The goal of conflict resolution is not to decide which person is right or wrong; the goal is to reach a solution that everyone can live with. Looking first for needs, rather than solutions, is a powerful tool for generating win/win options. To discover needs, you must try to find out why people want the solutions they initially proposed. Once you understand the advantages their solutions have for them, you have discovered their needs.

- **Find common areas of agreement, no matter how small**:
    - Agree on the problem
    - Agree on the procedure to follow
    - Agree on worst fears
    - Agree on some small change to give an experience of success

- **Find solutions to satisfy needs**:
    - Problem-solve by generating multiple alternatives
    - Determine which actions will be taken
    - Make sure involved parties buy into actions. (Total silence may be a sign of passive resistance.) Be sure you get real agreement from everyone. Ask each person "do you agree?"

- **Determine follow-up you will take to monitor actions**. You may want to schedule a follow-up meeting in about two weeks to determine how the parties are doing.

- **Determine what you'll do if the conflict goes unresolved**. If the conflict is causing a disruption in the program and it remains unresolved, you may need to explore other avenues. For example, in some cases the conflict becomes a performance issue, and may become a topic for coaching sessions, performance appraisals, or disciplinary action.

### 5.2 Dealing With Anger

When you meet with someone who is angry, you can use the tools of effective listening to help defuse this anger. Nevertheless, when anger is directed at you, it is much more difficult to respond to it, because your own emotions are usually involved.

To effectively defuse anger, keep in mind the needs of the angry speaker:

- **To vent**. An angry person needs to let off steam and release the anger that may have been brewing for a long time; use your communication skills to allow the person to vent.

- **To get the listener's attention**. An angry person wants to know that you are paying attention; use your body language to show this. Nothing is quite as exasperating as having someone tell you "Go ahead, I'm listening" only to see the individual begin to fiddle with their computer, sort mail or perform some other task. Maintain eye contact, face your employee and leave the computer and desk alone.

- **To be heard**. An angry person wants someone to listen to his/her point of view; acknowledge the feelings you hear so that the speaker knows you appreciate how angry he/she is.

- **To be understood**. An angry person wants someone to appreciate how he/she feels; try to empathize with the person's experience so that he/she feels you understand the situation, and acknowledge the right to have these feeling.

When you're listening to an angry person:

- **Be attentive and patient**. Keep in mind that the individual will become less angry as you continue to demonstrate you are listening – paraphrasing and summarizing and non-verbal encouragers, such as nodding and eye contact

- **Be sincere**. Empathy and validation must be both honest and genuine.

- **Be calm**. Try to remove your own emotions from the discussion. Remember that an angry person may say inflammatory things in the heat of the moment, but you do not have to react angrily or defensively.

Some additional advice when managing conflict:

- **Avoid using coercion and intimidation**: Emotional outburst or coercing people may stop the problem temporarily, but we know it is unlikely to be a long-term solution. One may bet the problem will resurface. At that point not only will you have the initial problem to deal with, but also the angry feelings.

- **Focus on the problem, not the individual.** Most people have known at least one "problematic individual" during their work experience. Avoid your own pre-conceived attitudes about individuals. Person x may not be the most congenial individual or they may just have a personality conflict with someone on your staff. This does not mean they do not have a legitimate problem or issue. Focus on identifying and resolving the conflict. If, after careful and thorough analysis, you determine the individual is the problem, then focus on the individual at that point.

- **Establish guidelines.** Before conducting a formal meeting between individuals, get both parties to agree to a few meeting guidelines. Ask them to express themselves calmly – as

unemotionally as possible. Have them agree to attempt to understand each other's perspective. Tell them if they violate the guidelines the meeting will stop.

- **Keep the communication open.** The ultimate goal in conflict resolution is for both parties to resolve the issue between them. Allow both parties to express their viewpoint, but also share your perspective. Attempt to facilitate the meeting and help them pinpoint the real issue causing conflict.

- **Act decisively.** Once you have taken time to gather information, have talked to the parties involved and have reviewed all the circumstances, make your decision and act. Don't leave the issue in limbo. Taking too long to make a decision could damage your credibility and their perception of you. They may view you as either too weak, too uncaring, or both, to handle the problem. Not everyone will agree with your decision, but at least they will know where you stand.

### 5.3 Staff Complaints

In addition to conflicts, the other potential problems that may surface under the realm of human resource management are individuals who complain about what they perceive is unsatisfactory conditions or situations that directly or indirectly affect them. They may relate to a number of issues. HR Solutions, Inc., a Chicago-based management consulting firm specializing in employee engagement surveys, analyzed recurring themes in employee surveys and compiled the following list of top ten themes. The job satisfaction study included over 2.2 million respondents with 2,100 organizations representing various industries, all surveyed by HR Solutions, Inc. Although these are the findings in the US, they are likely not much different from Indonesia. (http://humanresources.about.com/od/retention/a/emplo_complaint.htm)

These are the items employees consistently complained about on surveys and in interviews. How many are true in your workplace?

- **Higher salaries:** Pay is the number one area in which employees seek change. You can foster a work environment in which employees feel comfortable asking for a raise.

- **Internal pay equity:** Employees are concerned particularly with pay comparisons, the differences in pay between new and longer term employees. In organizations, with the average annual pay increase for employees around 4%, employees perceive that newcomers are better paid – and, often, they are.

- **Benefits programs, particularly health and dental insurance, retirement, and paid time off/vacation days:** Specifically, many employees feel that their health insurance costs too much, especially prescription drug programs, when employers pass part of their rising costs to employees.

- **Over-management:** Workplaces that foster employee empowerment, employee enablement, and broader spans of control by managers, will see fewer complaints. A popular word, micromanaging, expresses this sentiment, too.

- **Pay increase guidelines for merit:** Employees believe the compensation system should place greater emphasis on merit and contribution. Employees find pay systems in which all employees receive the same pay increase annually, demoralizing. Such pay systems hit the motivation and commitment of your best employees hardest as they may begin asking, what's in this for me?

  As you adopt a merit pay system, one component is education so that employees know what behaviors and contributions merit additional compensation. Employees who did not must be informed by their manager about how their performance needs to change to merit a larger pay increase.

- **Favoritism:** Employees want the perception that each employee is treated the same. If there are policies, behavioral guidelines, methods for requesting time off, valued assignments, opportunities for development, frequent communication, and just about any other work related decisions you can think of, employees want fair treatment.

- **Communication and availability:** Let's face it. Employees want face-to-face communication time with both their supervisors and executive management. This communication helps them feel recognized and important. And, yes, your time is full because you have a job, too. But, a manager's main job is to support the success of all his or her reporting employees. That's how the manager magnifies their own success.

- **Workloads are too heavy:** With understaffed programs employees will feel their workloads are too heavy and their time is spread too thinly. To combat this, the CSO should encourage staff to participate in continuous improvement activities.

- **Facility cleanliness:** Employees want a clean, organized work environment in which they have the necessary equipment to perform well.

The following strategies can help in managing employee complaints:

1. **Allow the employee to express emotion**. Similar to the discussion above on venting, our feelings sometimes cloud our ability to rationally discuss what is bothering us. By providing your employee a moment to blow off a little steam, you are sure to get a clearer picture of what is causing the employee conflict and discomfort.

2. **Give the employee your full attention**. Nothing is quite as exasperating as having someone tell you "Go ahead, I'm listening" only to see the individual begin to fiddle

with their computer, sort mail or perform some other task. Maintain eye contact, face your employee and leave the computer and desk alone.

3. **Check for understanding**. Ask questions to clarify points. When you believe you have a full understanding of the matter, check your perception by paraphrasing, repeating back what you have heard. Don't get surprised if you find yourself doing this more than once. Often when someone hears their thoughts spoken to them, they readily see something they failed to state. Since the object is to get a complete picture of the complaint, see this added detail as bringing you one step closer to resolution.

4. **Keep your personal feelings about the employee out of the picture**. This is not about whether are comfortable having the employee to dinner at your home or not. This is about an issue in the workplace. Keep the conversation and your thoughts on the complaint itself, and steer clear of allowing personal feelings to bias your judgment.

5. **Document the complaint**. Once you and the employee have agreed on exactly what the complaint consists of, write it all down. Taking the time to document the complaint is another way of saying it is worth taking the time to resolve. Allow the employee to read the document, thus ensuring nothing vital is left out.

6. **Allow the employee to participate in resolving the matter**. As the two of you have discussed the complaint, including how the situation arose in the first place, ideas on how to successfully resolve and prevent a recurrence may have occurred to both of you. Ask your employee for ideas on resolution and share the ones you have. Together, discuss the pros and cons of various solutions. While you do not have to commit to a solution on the spot, including the employee in the resolution process again demonstrates your desire to eliminate the sore spot and smooth the troubled waters once again. This is an excellent display of your employee management skills.

7. **After resolution, schedule a follow-up meeting with the employee**. Discuss how the resolution has changed the situation. Is the source of the discontent eliminated? Has the solution created any other issues that may need to be addressed?

Viewing a complaint as an opportunity rather than an obstacle is one sign of a good manager. Listening to what your employees have to say and involving them in making the workplace better for everyone will only enhance the reputation of your company, as well as maintain your good name among the employees.

## 6. Team Management

So you just signed a grant agreement for a program or activity with a funder and then you recruited the required personnel, and you said to yourself *"Great! Now, I have a team!"* Is that right that you have a team now? Unfortunately, the answer is "NOT QUITE YET". What you have is just a group of individuals, maybe with different skills and levels of education and background experience. When you gather them in one big room and ask those with the same gender or same education or same experience or other characteristics, you probably have several groups with similar characteristics, but they are not teams. It is true, however, that you may need a team and maybe several sub-teams to implement your new program.

Indeed, to form a group is very easy and can even be almost instant, but that is not true for forming a team. As mentioned above, your program team (or CSO team) may not necessarily have commonality in level of skills, gender, age etc., but one thing that they should share is a common goal. Commitment is another requirement; a shared commitment to achieve the goal, as well as the commitment of each member of the team to become a part of the team and be responsible for executing the task that is assigned to him/her. Each member of the team has a purpose and a function within that team, so the overall success depends on a functional interpersonal dynamic. There is usually not as much room for conflict when working as a team.

Working together does not always mean working in a team. There are instances when each member of the team needs to work independently, such as when each is addressing the already agreed aspects of the work. Yet the result of their independent work is complementary to the work of the entire team. Team management refers to techniques, processes and tools for organizing and coordinating a group of individuals working towards a common goal—i.e. a team.

One useful tool that is especially helpful for newly formed teams is the Four Stages of Team Development. (See next page.) Stage Four describes what a high performing team looks like. Stages One to Three offer typical stages and characteristics in moving from a "group" of people to this high performing team in Stage Four. The periodic discussion of these four stages with the question, what stage are we in, can help the team assess progress and identify issues and behaviors that are getting in the way of team development. It can also be a useful discussion tool in clarifying the role of the leader at each stage as well as supportive team member behaviors.

| The Four Stages of Team Development | | | | |
|---|---|---|---|---|
| | **STAGE ONE FORMING** | **STAGE TWO STORMING** | **STAGE THREE NORMING** | **STAGE FOUR PERFORMING** |
| **Definition** | Generally new teams that are learning how to work together | Have moved past the early forming stages and are now encountering some disagreements and /or conflict. This is natural but teams need to find effective ways to handle conflict before they can move on to stage 3 | Have successfully moved out of the storming stage and are ready to move to a higher level of communication and problem-solving | At the highest level of performance and can process their strengths and weaknesses while accomplishing their goals. |
| **Characteristics of Team** | Members tend to be tentative and polite and to have little conflict | Members tend to exhibit increased conflict, less conformity and "jockeying" for power | Members demonstrate an improved ability to complete tasks, solve problems, resolve conflict | Takes a flexible approach to roles and structures depending on the task at hand. The team is able to evaluate its effectiveness and views conflict is viewed as an opportunity. Stage 4 teams tend to be energetic, creative, and fun! |
| **Critical Skills and Activities** | Need to identify their purpose, develop group norms, identify group processes, define roles, build relationships and trust, deal constructively with conflict | Need to learn how to resolve conflict; clarify their roles, power, and structure; and build consensus through re-visiting purpose | Need to learn to engage in more sophisticated problem-solving and decision-making, continue the use of effective strategies for conflict resolution and take greater levels of responsibility for their roles | Leaders become less directive, team members feel empowered, and multiple leaders emerge |

| The Four Stages of Team Development | | | | |
|---|---|---|---|---|
| | **STAGE ONE FORMING** | **STAGE TWO STORMING** | **STAGE THREE NORMING** | **STAGE FOUR PERFORMING** |
| **Role of Leader** | Usually need a strong leader who can help the team go through its forming activities | Need leaders and other team members who are willing to identify issues and resolve conflict | Teams need to hold high expectations for their performance. They often use sub-groups as well as the large group for decision-making and task completion. Teams also recognize the need to ensure that all members are in agreement with the role and purpose of sub-groups | It is often difficult to identify the leader, because everyone is sharing in leadership |

Building a high performing team is not instantly built in a workshop or even a series of meetings. Rather it has to be nurtured continuously and slowly through concrete actions every day.

The following is a list of elements that may result in better teamwork and performance:

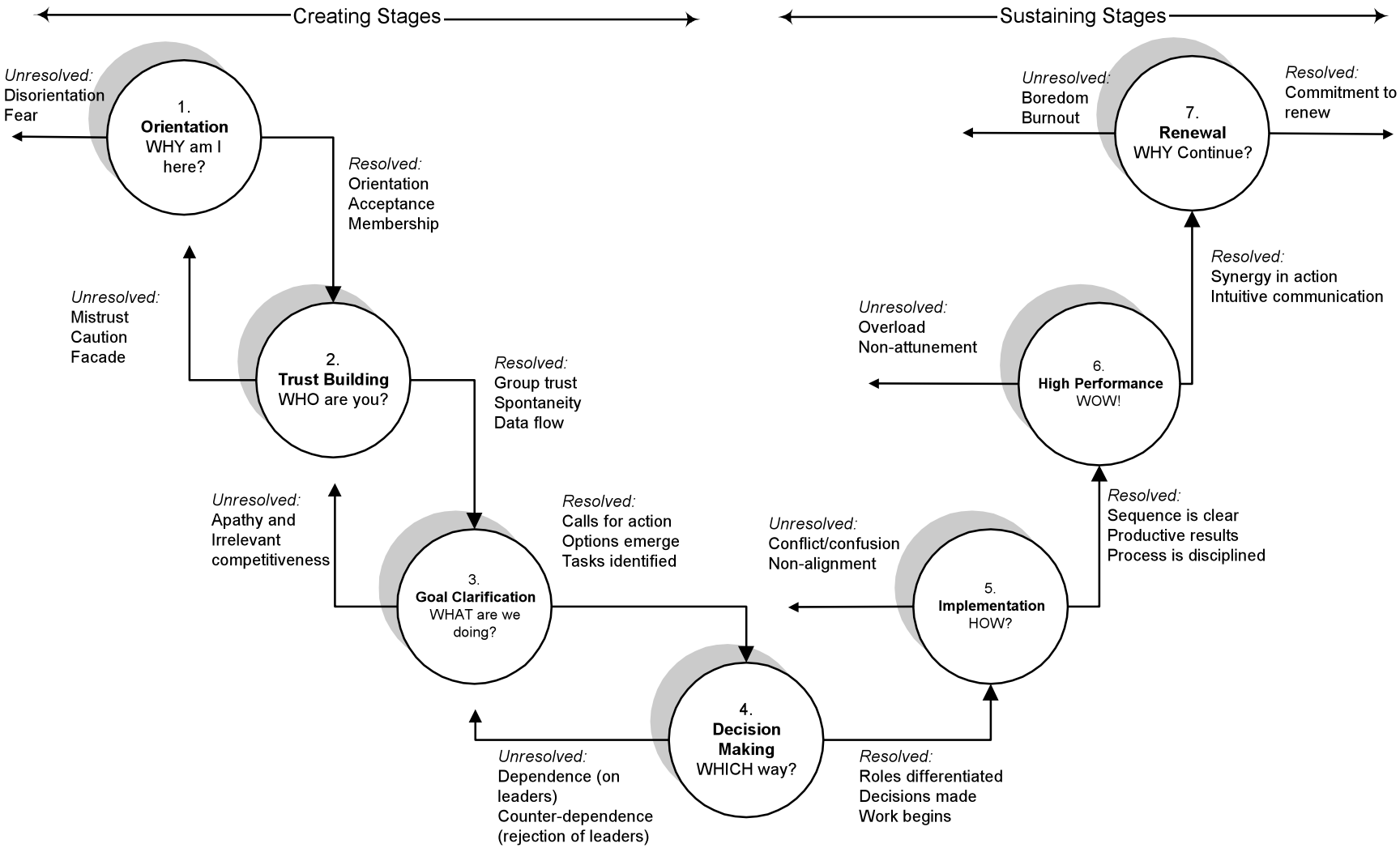
- Commitment to shared goals and objectives
- Clearly define roles and responsibilities
    - Use best skills of each
    - Allows each to develop in all areas
- Effective systems and processes
    - Clear communication
    - Beneficial team behaviors
    - Well-defined decision procedures and ground rules
    - Balanced participation
    - Awareness of the group process
    - Good personal relationships
- Open appreciation of positive behaviors of members by others
- Open celebration of success

**Useful Tip for Team Strengthening**

Use a bulletin board to post an appreciative note written by team members when they see or experience something positive done by any other members. Example: "*Big thanks to A, her tireless efforts have made it possible for us to submit our report to our donors on time. BRAVO! Keep up the excellent work.*"

The following Team Performance Model is another useful discussion tool to bring to a team start-up meeting. It can help clarify expectations about team development and performance and serve as a tool for periodic team check-ins.

# Team Performance Model (© Drexler/Sibbet)



## Seven Stage Team Performance Model Matrix

| Stage | Question/Issues to resolve | What happens if not resolved | Tools, methods, and behaviors to help resolve issues |
|---|---|---|---|
| **Orientation** | • Why am I here?<br>• Do I belong here | • Fear<br>• Disorientation - not following the program<br>• Disruptive behavior<br>• Withdrawal | • Introductions - Ice breakers<br>• Discussing why we joined the group<br>• Discussing expectations<br>• Discussing fears<br>• Discussing needs and supports<br>• Active Listening |
| **Trust Building** | • Who are you?<br>• What do you expect from me?<br>• Will you "hurt" me or deride me if I make a mistake?<br>• Will you do what you say you will do? | • Mistrust<br>• Caution<br>• Fake behavior<br>• Withholding information, data, and ideas<br>• Withdrawal<br>• False data<br>• Negative politicking<br>• No listening to each other | • Active listening<br>• Revealing self and taking risks<br>• Taking care of others when they reveal themselves<br>• Acknowledging contributions<br>• Following through on commitments<br>• Defending others when they are attacked or discounted<br>• Gatekeeping - helping others to participate |
| **Goal Clarification** | • What are we doing?<br>• What do we want to be as a group | • Apathy and disinterest<br>• Irrelevant competition<br>• Frustration | • Disclose and discuss personal goals<br>• Surface all options (go for details)<br>• Identify all issues<br>• Draw pictures of desired state and share<br>• Discuss criteria and reasons for choosing the best goal |
| **Decision Making** | • Dependence - the group becomes dependent on leader to make all decisions<br>• Counter-Dependence - group | | • Discuss method of decision making and make it explicit<br>• Explicitly delegate responsibility (for |

| | | | |
|---|---|---|---|
| | members reject all efforts for individuals to take leadership in making decisions | | example "Responsibility Charting")<br>• Discuss how issues and difficulties will be resolved |
| **Implementation**<br>**Which way?** | • Sequencing and coordinating the work<br>• Maintaining group cohesiveness | • Conflict/Confusion<br>• Missed deadlines and delays<br>• Team members don't receive what the need from other team members when they need it<br>• Frustration and wasted time | • Time lines<br>• Work plans<br>• Schedules<br>• Well conducted and useful Meetings<br>• Active listening<br>• Feedback and communication skills<br>• Making honest and realistic *commitments* |
| **High Performance** | • WOW!!!!<br>• Synergy | • You may not get here and still have a productive team | |
| **Renewal**<br>**Why Continue** | • Why continue as a team?<br>• What else can we do?<br>• Are we done? Should we disband? | • Boredom<br>• Waning interest and commitment<br>• Going through the motions<br>• Burnout | • Explicitly return to Stage 1 and work through process again. |

## 7. Knowledge Management[1]

### 7.1 Definition of Knowledge Management

Knowledge management is the discipline of enabling individuals, teams and entire organizations to collectively and systematically create, share and apply knowledge, to better achieve their objectives.

Generally, there are three main goals of knowledge management:

1) Connecting people to knowledge and information
2) Connecting people to people
3) Organizational Improvement

For each of these three goals, there are a range of tools and techniques that can help a CSO access the right knowledge at the right time.

### 7.2 Connecting People to Knowledge and Information

The following tools can be used by an organization to meet the goal of connecting people to knowledge information:

- **Case Study**

A case study is a written examination of a program or activity. It has a clear and concise structure that brings out key qualitative and quantitative information from the program. A sample of a template of a case study can be:

1) Summary
2) Key learning (up front)
3) Background to the problem
4) Main issues and problems in detail
5) What was done – in chronological order
6) Outcomes and impact
7) Material resources required
8) Human resources required
9) Barriers and how were they overcome
10) How could it be done better?

[1] Based on *Knowledge Management Tools and Techniques: Helping You Access the* ***Right Knowledge*** *at the Right Time*. Improvement and Development Agency for Local Government. United Kingdom. 2008. See http://www.idea.gov.uk/idk/aio/8595069

- **Rapid Evidence Review (RER)**

A RER is a way of reviewing research and evidence on a particular issue. It looks at what has been done in a particular area and records the main outcomes. It involves getting knowledge about emerging effective practices, i.e., the HIV response. It could entail some or all of the following:

1) Gather the group of people you are hoping to get information from. Ask them to write on paper any ideas and examples of work that relate to the issue you are researching.
2) Stick these examples on the wall around the room and arrange them into themes.
3) Group people according to the theme that contains their ideas or example of work.
4) Run breakout groups by theme. Use group discussions to test the effectiveness of the practice. A facilitator should be assigned to record the discussion. As each person in the group discusses their work, the facilitator ensures that supporting evidence is recorded.
5) Produce a report or document that summarizes the discussion and outcomes.

- **Knowledge banks (web databases)**

Knowledge Banks are online services and resources which hold information, learning and support. Knowledge banks for HIV programs include the many websites especially dedicated to HIV, such as:

- www.hivalliance.org
- www.aidsalliance.org
- www.avert.org
- www.cdc.gov/hiv/
- www.aegis.com
- www.unaids.org
- **Aids.gov**
- www.aidsmap.com
- www.medscape.com/hiv
- http://www.kff.org/hivaids/index.cfm

### 7.3 Connecting People to People

Connecting people to people as a knowledge management goal can be accomplished in some of the ways described below.

- **Community of Practice**

A community of practice is a network of individuals with common problems or interests who get together to:

- Explore ways of working
- Identify common solutions
- Share good practice and ideas

Typically COPs are formed by individuals in an organization or these individuals link to an existing community of practice (COP), such as a HIV knowledge network or professional network. Informal communities exist in some form in every organization or partnership. The challenge is to support them so they can create and share knowledge in their specific area. Communities of practice are organic and self-organizing, and should ideally emerge naturally. They usually evolve from the recognition of a specific need or problem.

A wide range of approaches can be used when creating and developing COPs. Before setting up a community, there are a few main points to consider:

1) Scope: What do you want to achieve? Who is your audience? What are the boundaries?
2) Participants: Who can make a major contribution? Do they share common needs and interests?
3) Roles and responsibilities: Who are the experts, leaders, champions, facilitators?
4) Interest and involvement: How will you attract interest? How will you engage participants? How will you develop your community?
5) Creating and sharing knowledge: How will you interact, learn and share?
6) Moving forward: how will you add value? How will you evolve?

Communities of practice can have a limited shelf-life and this is not always a bad thing. Sometimes a natural ending is reached, for instance when a group or a practice reaches a conclusion. As long as the learning is captured and redistributed, the success of the collaboration can inform others in the future.

- **Peer Assist**

People can use a peer assist to gather knowledge and insight from other teams before embarking on a program or activity. It partners those seeking assistance – the receivers – with a peer or group of peers who have expertise in a desired area. A peer assist can last from an hour to a full day depending on the size of the program.

A simple method to run a peer assist that works well involves of the following steps:

1) Appoint a facilitator – someone from outside the team who will ensure the participants achieve their outcomes
2) Select the participants – choose participants who have diverse knowledge, skills, and experience. There is no hard and fast rule about minimum or maximum numbers, but the right participants are particularly important.
3) Share information – this is done by dividing the meeting time into four parts:

Part 1 – Clarify purpose. The receivers present the background and objectives of the project or task they are about to begin. They should also say what they hope to achieve in the peer assist.

Part 2 – Encourage the peers to ask questions and give feedback. The peers discuss the receiver's situation and share ideas and experiences. The receivers should simply listen.

Part 3 – Analyze what's been heard. This part is for the receivers to analyze and reflect on what they have learned and to examine options. The peers should take a back seat.

Part 4 – Present the feedback and agree actions. The peers present their feedback to the receivers' analysis and answer any further questions

- **Knowledge Café**

A knowledge café brings people together to have open, creative conversation on topics of mutual interest. It can be organized in a meeting or workshop format, but the emphasis should be on flowing dialogue that allows people to share ideas and learn from each other. It encourages people to explore issues that require discussion in order to build a consensus around an issue.

How to run a knowledge café?

A simple and recommended method that works well involves the following steps:

1) Preparation for a knowledge café:
    - Appoint a facilitator – someone who can encourage participation.
    - Identify a question relevant to those participating.
    - Invite interested parties.
    - Create a comfortable environment – a 'café' layout, with a number of small tables, supplied with tea and coffee, is one option.

2) During a knowledge café:
    - The facilitator should introduce the knowledge café concept, any ground rules, and finally pose the question.
    - Participants should arrange themselves into groups to discuss the question.
    - Each participant in turn shares their knowledge and experience without interruption, giving everyone an opportunity to talk. Alternatively, a 'talking-stick' can ensure only the person holding the stick can speak, thus avoiding the discussion becoming dominated by one or a few speakers.
    - After each participant has shared, the group continues the discussion together.

- The groups should eventually reconvene to exchange ideas and findings – these could be captured electronically or on paper.

<u>After a knowledge café</u>

The real value of a knowledge café is what people take away with them in their heads, and the new connections they have made with people. If the knowledge café is to be recorded – making sure to avoid disrupting or influencing the conversation – the information may be distributed to participants after the session. Remember, a knowledge café is not a talking shop. Turn-taking is important. If everyone is encouraged to have their say, a natural and stimulating group discussion should evolve, and good ideas won't be long coming.

- **Knowledge Marketplace**

A knowledge marketplace is like a 'dating service' for knowledge. It identifies what people know and what they need to know on a particular subject, and then connects them appropriately. The knowledge marketplace can be facilitated online, via email or face-to-face. It can be used in many situations, and is particularly useful when delegating roles and responsibilities within a new program team. Success depends on the willingness of participants to both contribute and benefit in equal measure from exchanging knowledge. It is highly dependent on the degree of trust between individuals.

How to run a knowledge marketplace?

Within the participating team or group, each person should take the following steps:

1. Identify your knowledge requirements – these could be areas where you feel there are gaps in your knowledge.

2. Identify your knowledge offers – these would be areas where you have knowledge and experience to share with others.

3. Collect some basic information to start the 'connection and collection process.' For example: name, job title, organization, email address, topic. This information can be recorded in a form, an Excel spreadsheet, by email, or on a flip chart during the session. This information is then used to connect people to people and the sharing process can begin.

The sharing process can simply involve having a conversation. Or it could be exchanging business cards with people in who have knowledge or experience of benefit to you. Alternatively, the sharing could happen after the event has been recorded electronically and all the relationships mapped out and made available online.

### 7.4 Organizational Improvement

Organizational improvement as a knowledge goal can be accomplished in some of the ways described below.

- **Feedback – What has Gone Well and Not Gone Well**

Feedback is a quick and useful tool to get candid information at the end of an event or activity. It allows all participants to say in an open and accepting atmosphere which aspects of an event or activity worked and which did not.

This is a facilitated session to get feedback and requires a flipchart to record the information. The flipchart is divided down the middle into two columns: 'Gone well' and 'Not gone well.'

The facilitator asks the group to comment on anything to do with the event that went well or not so well. This could include content, delivery style, catering, room layout, discussion topics, materials used, plus whatever people want to bring up in relation to the day. All positive and negative comments are written into the respective columns on the flipchart.

- **After Action Review (AAR) (formative evaluation)**

An after action review (AAR) is a tool to evaluate and capture lessons learned. It takes the form of a quick and informal discussion at the end of an activity or at a key stage within a program or specific activity. It enables individuals to:

1) Review what has happened
2) Summarize new knowledge
3) Decide what action should be taken next

This discussion should cover:

- What happened and why
- What went well
- What needs improvement
- What lessons can be learned from the experience

How to run an AAR?

An AAR involves major team members and is conducted as soon as possible after the specified stage, program or event. It is structured as an informal brainstorming session to build consensus on the following questions:

1) What was supposed to happen?
2) What actually happened?
3) Why were there differences?

4) What did we learn?
5) What are the lessons for next time?

You may want to ask some more probing questions in these areas:

- What did we set out to do? What were our objectives and deliverables? What did we actually achieve?
- What went well? What could have gone better? Why did it happen like that?
- What did we do? What would we do differently next time? How does this affect the next stage?
- What needs to be disseminated to whom and how?

It is important to create an atmosphere of trust and openness, and to emphasize that this is a learning event, not a performance evaluation. It is also important to focus on improvement and to ensure that any mistakes made or poor practice identified can be turned into a learning opportunity.

The review outcomes are normally captured during the session, on flipchart paper or electronically. This will depend on who the information is intended for and how it will be used. By recording and storing the outcomes of the AAR on an intranet or website, those involved can refer back to what they have learned.

The material can also be shared with those who may benefit from the acquired learning, particularly those who are working on a similar project or activity. An independent facilitator may be appointed to help draw out answers, insights and issues, and to ensure that everyone contributes.

Alternatively, the AAR could be facilitated by someone from the program or partner team. See retrospective review and rapid evidence review for more formal and detailed evaluations.

- **Retrospective Review (Summative Evaluation)**

A retrospective review is an in-depth discussion that happens after the completion of a program, event, or activity. It is structured to help the people reflect on the program in detail. The review ensures that you:

- Retain learning from what has happened
- Understand why it happened
- Look at what went well, what needs improvement and what lessons should inform future work

How to run a retrospective review?

A retrospective review can be run in various formats, including a workshop or meeting. A simple method that works well involves the following steps:

1) Preparation for a retrospective review
   - Appoint a facilitator – someone who can help create an open environment and encourage discussion
   - Invite all members of the team to participate
   - Collate and distribute documents relating to the project being discussed.

2) During a retrospective review
   - Identify and review project objectives and deliverables
   - Identify and review the project plan and planned process
   - Discuss how success and lessons learned can be applied in the future
   - Discuss what could have gone better and how
   - Relay short summaries of main learning points to clarify understandings.

3) Post-retrospective review

   - Record findings in an appropriate format and circulate to all participants
   - Publish or store the main learning points and recommendations for future use (this can include online case studies, printed publications or reports)
   - Formally close the retrospective review

Throughout the retrospective review process, invite comments and feedback. This will help you learn as much as possible before the team disbands. To inform future work, ensure that everything has been properly documented and stored or published before formally closing a project.

- **Knowledge Exchange**

A knowledge exchange takes place when someone is moving on from their current position. It aims to recover unique and valuable information from them before they leave.

The knowledge exchange occurs between a knowledge holder and a facilitator. The knowledge holder is the person who is departing. The facilitator is typically a line manager or trusted team member – someone who is close to the individual leaving and can ensure the questioning is of sufficient depth and relevance. Ideally, the knowledge exchange will also involve the person replacing the knowledge holder or carrying out the tasks they leave behind. They will benefit from any useful tips and knowledge and from asking their own questions.

How to run a knowledge exchange?

The methodology recommended is based on work developed in the public and private sectors by knowledge management experts. It has five steps:

1) Two days prior to the knowledge exchange, the knowledge holder receives a copy of the knowledge exchange questions.

2) The facilitator follows these questions as a guideline, but they are best used as a means to focus on the four key areas of work:
   - general
   - key operational information
   - people and people skills
   - lessons learned and 'pattern recognition'

3) Relationship mapping provides an overview of the relationships the knowledge holder has with key contacts in the organization.

4) The facilitator must then decide the best way to package this knowledge for the organization. This may include:
   - drawing up instructional guidelines
   - mapping business processes
   - producing a list of useful contact information and relationships
   - recording as audio or film some of the knowledge holder's information.

5) The facilitator may then choose to upload this information onto the team intranet, or save as a standalone file for future reference.

Menara Salemba , Lantai 7
Jl. Salemba Raya No.5
Jakarta Pusat 10440
Indonesia
Tel : +62-21-3984-0256
Fax +62-21-3984-0257