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HUMAN RESOURCES MANAGEMENT TRAINING PROGRAM

TRAINING NEEDS ANALYSIS REPORT

(DRAFT)

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1. INTRODUCTION

PROBLEM STATEMENT

The ARIES Strategic Overview Paper identified **Administrative Capacity** as one of four critical areas in which resource institutions need assistance in building their general capacity.¹ Administrative capacity building "can help resource institutions hire, train, and motivate staff and develop systems for effective internal communication and control."

During the 1987 ARIES Credit Management Needs Analysis, which addressed technical capacity building, participants recommended that personnel management be addressed as a separate issue, since it deals with management of an entire organization, rather than with staff involved in a specific function. A summary of structures, personnel selection and management methods used by several organizations involved in small-enterprise development was prepared for use at a 5-day Credit Management workshop, jointly sponsored by the ARIES Project and the Small Enterprise Education and Promotion (SEEP) Network in January, 1988.²

PROJECT DESCRIPTION

Courseware Development Associates, Inc. , Minneapolis, Minnesota is under contract with Robert R. Nathan Associates to develop a Human Resources Management training package for resource institutions which provide assistance to small and micro-entrepreneurs. The project consists of two major phases: 1) Training Needs Analysis and, 2) Instructional Materials Development. The target audience is executives and managers of indigenous private voluntary organizations, non-governmental organizations and other resource institutions.

1. The others are Strategic, Technical and Communications capacities.

2. These materials were translated into Spanish by RRNA and tested by Patricio López of Courseware Development Associates during a Human Resources Management Training pilot workshop held in Santo Domingo, Dominican Republic on February 6-8, 1989.

The objective of the current needs analysis is to determine what areas of human resource management are most critical and in what areas of human resource management these resource institutions most need training and assistance.

NEEDS ANALYSIS PROCEDURE

The Human Resources Management Training Needs Analysis was conducted according to the basic method described in the "ARIES Training Needs Analysis Manual" (Control Data Corporation for USAID, Contract DAN-1090-C-00-5124-00, Draft, 1986). Information was gathered primarily from interviews with experts in small enterprise development and with PVO personnel from a variety of organizations with experience in small enterprise development and credit. Interviews were conducted in person in Washington D.C. and by telephone from Minneapolis, MN. Twenty-three people were interviewed in various organizations and agencies around the United States. A list of the needs analysis participants appears in Appendix A.

In addition, Mr. A. Patricio Lopez, Courseware Development Associates (CDA), conducted on-site interviews and observations in the Dominican Republic and in Costa Rica.¹ Numerous informal conversations were also held with both AID personnel and ARIES project personnel at Robert R. Nathan and Associates.

Data from the interviews was organized by topic, following, in general the organization suggested in the ARIES Training Needs Analysis Manual. Responses were synthesized and summarized by topic.

1. A list of Dominican and Costa Rican organizations which participated in the Training Needs Analysis appears in Appendix B.

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2. TARGET AUDIENCE: ORGANIZATIONS

The range of organizations which provide assistance to small and micro-entrepreneurs varies a great deal: from those using no local staff at all (TUP, FINCA) to very large, established institutions for whom such assistance is a small part of their overall business (PADF, CRS - Philippines). No single training program can address the human resources management needs of all of these organizations. ¹

The first needs analysis task is to define the type or types of organizations to which the ARIES Human Resources Management Training Program should be directed. The key criteria for this organizational target identification are:

MOST PROBLEMS

What types of organizations report the most human resources management problems?

LEAST HELP

For what types of organizations is there the least amount of human resources management help (training, procedures, etc.) available?

SUITABILITY

What types of organizations are likely to avail themselves of ARIES Human Resource Management training?

1. A critical design assumption in the needs analysis was the elimination of the headquarters of international voluntary agencies as target institutions. This assumption is supported by the ARIES Strategic Overview Paper which states that "(L)arge international organizations tend to be well institutionalized, with procedures and regulations guiding **hiring**, travel, grant making, reporting, and other routine matters."

Some key variables that help define the target organizations are:

Presence or Absence of Field Offices

Employer of Client Contact People

US PVO
Local Intermediary Organization

Level of Organizational Specialization

Total Community Development
Large Financial Institution
SME Sector Specialized

Target Audience/Size of Loans

Poorest-of-Poor
Individual Entrepreneurs
Solidarity Groups
Established Businesses
Large Micro-Enterprises

Size of Field Organization

Micro (1-5)
Typical (7-20)
Large (20+)

Size of Intermediary Organization

Small (7-15)
Medium (15-40)
Large (40+)

These variables are, of course, interrelated. For example, an institution whose target audience is the "poorest of the poor" is likely to have fairly small field offices and to be working in a broad range of community development projects. On the other hand, an SME branch of a larger financial institution is likely (though not necessarily) to be specialized in the financial sector and to be making larger, longer term loans to established businesses.

Presence or Absence of Field Offices

Two organizations surveyed during the needs analysis (TUP, FINCA) deliberately do not use U.S.-connected local institutions. They provide direct assistance, quickly, in small amounts (\$100 conditional grants [TUP], \$2,500 capitalization and one-day bank formation [FINCA]). These organizations' headquarters act as their own resource institutions. By definition, they are outside of the design target audience for the ARIES Human Resources Management training project, although they, no doubt, will be able to use some or all of its content within their headquarters.

Employer of Client Contact People

Employees who work directly with clients are either employed by a local intermediary organization or directly by the US-based voluntary organization. Local units of US-based PVOs use, or at least have access to, personnel management policies, practices and tools developed and used by headquarters. Although they are modified in some cases to suit local conditions (labor laws, etc.), these tools provide a solid, uniform foundation for human resource management in these organizations.

Local intermediary organizations such as indigenous PVOs tend to be very informal about all activities, including human resources management. They may have no written policies at all or, much more commonly, may not follow what policies they do have.

Larger, more established resource institutions such as banks and government agencies generally do have fully-formalized human resource policies and procedures. However, these apply to the entire organization and may not suit the particular needs of the Small/Micro-Enterprise unit. In some cases, the entire organization appears to need human resources management assistance.

Level of Organizational Specialization

Local organizations which provide small/micro-entrepreneur assistance (SME) as part of overall community development tend to be rather informal and very community-centered. Although the field office may consist of ten or more staff, there may be only one or two people providing small business development. The human resource management needs of these organizations relate more to the problems of managing community development field workers in general than specifically to those of small business development.

Large financial institutions which are attempting to provide assistance to very small borrowers generally have fully-formalized human resource management practices for the organization as a whole. However, some human resources management issues specific to small/micro-enterprise assistance remain, such as identifying the skills necessary to work with such clients successfully.

Small local organizations which specialize exclusively in assistance to small entrepreneurs have both of these types of needs. Because of their size, they are still experiencing general human resources management problems such as hiring, retention, motivation, etc. Because of their specialization, the content of these need areas is concentrated in small business/micro-entrepreneur assistance.

Target Audience/Size of Loans

Organizations which serve the "poorest of the poor" and individual entrepreneurs such as street vendors must, of necessity, be much less formal and much more adaptable than those which serve larger clients. These organizations generally report that their major human resource management needs are related to managing field workers.

Target Audience/Size of Loans (Continued)

Organizations which provide assistance to groups or to already-established businesses often have several people devoted exclusively to this activity. The SME group is large enough to be experiencing some human resource management problems (hiring, retention, etc.), yet small enough itself to find limited resources available to it to solve these problems. They are also usually part of a small enough organization which does not have a great deal of its own resources.

At the opposite end of the spectrum, organizations which provide financial and technical assistance to larger, well-established entrepreneurs, are usually sector-specialized institutions or parts of larger financial organizations. They tend to have better access to tools to solve their human resource management problems, though not necessarily their SME-specific problems.

Size of the Field Organizations

The size of the field office directly determines the types of human resource management problems the organization may be having. Very small field offices (1-4 people) are too small, too busy and too flexible to be concerned about many formal administrative procedures. Large offices (30+ people) have usually developed some formalized human resource management procedures although they may not be adhering to them or practicing them. The SME units of large field offices may need some help with SME-specific issues such as identifying the skills necessary for effective SME assistance to field workers.

It is the typical, mid-size field office that has the most serious human resource management problems. The office is large enough to need formalization of its human resource management practices and training in their application, yet small enough not to have, in all likelihood, developed them on their own. If the office is not affiliated with a large US-based PVO or part of a larger indigenous organization, it is also likely to find itself with very limited resources for help in addressing its human resource management problems.

Size of Intermediary Organization

Medium to large intermediary organizations are likely to have developed at least some formal human resource management policies and procedures. These can be used by its field offices as a basis for their own human resource management.

RECOMMENDATIONS: Based on the findings summarized above, the following priorities are recommended for target organizations for the ARIES Human Resources Management training package:

Priority 1:

Sector Specialized Indigenous PVOs and Branch PVOs with 8-30 Staff which handle mid range size loans.

Priority 2:

Community Development Indigenous PVOs and Branch PVOs with 8-30 Staff.

Priority 3:

Banks that work with SMEs which handle mid range size loans.

These priorities act as **guidelines for design** of the content, packaging and delivery of the ARIES Human Resources Management training package. This is not to say that only Priority 1 audiences will use the training. We expect that other institutions and units within institutions will certainly find portions of them useful, as is or with adaptation.

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3. POTENTIAL TRAINING PARTICIPANTS AND THEIR CHARACTERISTICS

A logical first assumption about the target audience within local resource institutions would be the people responsible for the human resources management function: the Director or the SME Project Manager. Many of the respondents did, indeed, identify this audience as a target. They were variously described as "key person", "horizontal training" (training of a group of executive director of different organizations), "directors and colleagues".

Several respondents made the point, however, that the target audience should not be confined to this executive group. Most frequently mentioned additional targets were other employees at the institution ("key person plus staff", "everybody in the organization", "vertical training"). One respondent broadened the audience to include donors, US PVO headquarters and implementers.

In only one case was it suggested that identical, simultaneous training be provided for this broader audience. Other respondents who suggested the broader audience recommended that the same basic package be used as a basis for training but that its content and emphasis be adapted for use with different audiences in separate sessions.

RECOMMENDATIONS:

1. Executive Director
2. Include other management levels of the organization. In some cases, it may be advisable to include supervisory and field personnel.
3. Options open: Board of Directors

CHARACTERISTICS:

EXECUTIVE/MANAGEMENT

While, due to the extreme diversity of organizations, programs and localities, there is no such thing as a "typical" executive in local resource institutions, respondents provided the following general profile of directors:

| | |
|--------------------|--|
| <u>Age:</u> | 30-40 |
| <u>Education:</u> | Some high school (Africa). Some university to Bachelor's and Master's degrees from US universities. |
| <u>Experience:</u> | 10+ years of professional and/or managerial experience in social development or the private sector, particularly financial institutions. |

OPERATIONAL STAFF

Without, again, trying to describe a "typical" staff or field worker, respondents came up with the following composite profile:

| | |
|-------------------|--|
| <u>Age</u> | Mid-20s |
| <u>Education</u> | Extremely varied; depend on the organization and the program. Some elementary, some secondary, high school plus 1 year of technical training, university students, university graduates. |
| <u>Experience</u> | Some have some business or micro-enterprise sector experience. |

MID-MANAGEMENT/PROFESSIONAL

A few organizations are large enough to have a mid-management or professional level between the executive director and the field workers and field supervisors. Their jobs may be Administrators, Managers or Loan Officers. They have university degrees (doctorates in one case) and experience in related fields such as banking or economics.

4. HUMAN RESOURCES FACTORS

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4. HUMAN RESOURCES SUCCESS FACTORS

Six specific human resources issues were identified as critical by participants: hiring, pay, incentives, employee retention, job descriptions/performance evaluation, and formal policies and procedures. Each of these topics is discussed in more detail in the following sections.

Respondents also identified some general factors characteristic of successful resource organizations. These included:

1. Commitment (Mística)

- Belief that they can make an impact
- Sense of service
- Sense of team

This is the primary motivating factor; it helps to compensate for the incredibly long hours and difficult working conditions.

2. Organizational Purpose

Resource institutions that have a narrow focus and a clear sense of their own purpose tend to be successful. Perceiving themselves as a business, and judging themselves by business criteria, are also important to an resource organization's success in small/micro-enterprise assistance.

3. Leadership

A dynamic, charismatic leader (likely the founder) can energize and motivate staff, although this very charisma carried with it the risks of overcommitment to a specific model of operation and overly authoritarian management. The Board of Directors and the relationship of the Director with the Board are important determinants of organization success.

4. External Factors

The general state of the economy and the particular cultural experience with lending, borrowing and repayment also contribute strongly to an organization's success in small business assistance.

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5. HUMAN RESOURCES PROBLEMS

Respondents identified some general human resources problem areas in addition to the six specific areas discussed in the following sections. These included:

1. Top-Down Control

Overcontrol by one organizational level on another came out strongly as a problem in the needs analysis. For example,

a PVO headquarters or central office that is unwilling to give a field office the flexibility it needs to meet changing field conditions

a Board of Directors that gets too involved in the day-to-day operation of the organization and fails to delegate adequate authority to the Executive Director

an authoritarian Director who insists on making all decisions himself

2. Management Systems

Both lack of formal management and human resource systems and overly formal systems cause problems in resource institutions. In the former case, a sense of unpredictability and unfair treatment can lead to a serious decline in productivity. In the latter case, systems get bureaucratized, consume much too large amounts of resources in their service, and seriously inhibit organizational flexibility.

3. Strategic Planning

When strategic planning is weak, people focus on specific tasks and assume a very short time horizon. Jobs become fragmented and activity, rather than results becomes the focus. Strategic planning is necessary to

Define the organization's missions and objectives clearly,

Cost-effectiveness
Self-sufficiency
Target groups

make basic policy decisions in order to achieve them, and

Interest rate
User fees
Size of loans
Repayment schedules

set up monitoring systems to measure organizational performance against its objectives.

Size of loan portfolio
Client composition
Cost/benefit relationship

A closely related issue is that of short-term funding cycle. Funding is often provided on a project basis. This leads to organizational instability and staff insecurity, a particular problem for young field workers.

4. Relationships

Organizations need to better define and create internal and external relationships. For example,

the relationship of human resource to the success of the organization

the relationship of field activities to the broader mission of the organization

the relationship of an organization's staff with its members

the role of the organization in the community

5. Resource Shortage

Time, people and money are always inadequate to meet the demand for services. Overwork breeds mismanagement, non-adherence to policies and, finally, to demotivation and burnout.

6. Training

The training function in resource organizations needs to be better managed. Although extensive informal and formal training provided is often provided, seldom does anyone within the organization have actual responsibility for the internal training function. Staff comes to perceive themselves as having poor access to the training, especially retraining, they need.

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6. HUMAN RESOURCES MANAGEMENT: SIX MAJOR TOPICS

Needs analysis participants identified six major topic areas which should be included in the ARIES Human Resources Management training package:

- Recruitment and Hiring
- Compensation
- Incentives
- Employee Retention / Motivation
- Performance Evaluation
- Policies and Procedures

This list of topics overlaps, but is not coincident with, suggested human resource management topics suggested in previous ARIES development work (see Table on page 17). Participants in this needs analysis focused more narrowly on issues better defined using the older term "personnel management".

Participants described current practices, problems, needs and suggested solutions in each of the six major topic areas. These detailed descriptions will form the basis of the project Design Document and design of project training materials and methods. The following sections summarize the main ideas and major subtopics in each topic area.

HUMAN RESOURCES MANAGEMENT TOPICS: PREVIOUS ARIES BACKGROUND WORK

ARIES STRATEGIC OVERVIEW PAPER ("Administrative Capacity")

Hiring Staff
Training Staff
Motivating Staff
Coordination

OVERVIEW PAPER: DIAGNOSIS AND PRESCRIPTION ("Personnel and Organizational Management")

Needs Analysis: Hiring and Training
Incentive Systems and Employee Performance
Organizational Systems and Forms
Communications Skills/Interpersonal Relations
Personnel Planning
Personnel Record Systems
Performance Monitoring and Supervision
Incentive Systems
Problem Identification and Diagnosis
Training Aids
Communications Systems

ARIES 3RD YEAR WORK PLAN ("Personnel Management")

Hiring
Turnover
Compensation
Motivation
Career Paths
Staff Training

ARIES TRAINING MATERIAL EVALUATION REPORT ("Human Resources")

Communication Skills
Computer Use
Negotiating
Personnel Management Systems
Staff - Coordination
 Motivation
 Performance
 Selection
 Training
Time Management

TOPIC ONE: RECRUITING AND HIRING

Like the target organizations themselves, the need for assistance in recruiting and hiring is a "mid-range" problem. At one end of the spectrum, community development organizations rely on self-identified community leaders to manage business development projects. At the other end, some countries have strict labor laws that govern the human resources practices of all organizations operating there. In between are small to medium resource institutions using sometimes very informal processes to recruit and hire qualified employees in an area in which the critical skills are just now beginning to be defined.

In this informal environment, Directors face considerable pressure to hire on the basis of "who" (connections, relationships, referrals) rather than "what" (skills, education, experience). Organizations recognize this as a problem and also recognize that part of the solution is to develop strong, rational hiring systems.

Another part of the solution is to train staff in the practical skills necessary to implement a hiring system. These skills range from writing job descriptions to evaluating resumes to effective interviewing. In many cases, people know they should apply these skills but fail to do so in actual practice.

RECOMMENDED SUB-TOPICS: RECRUITING AND HIRING

Recruiting Methods

Formal

- Newspaper Advertising
- Newsletter Advertising
- Through a University
- Training Sessions

Informal

- Word of Mouth
- Personal Relationships
- Referral (BOD, Others)
- Nepotism

Critical Skills

- Task Analysis
- Job Descriptions
- Finding a Balance of Skills

Qualifications

- Commitment
- Ability to Work With Community
- Social Concern
- Communications Skills
- Business Experience
- Technical Skills
- Finance Skills

Hiring Practices

- Interviewing
- Credentials Evaluation
- Psychological Tests
- Using Third Parties

TOPIC TWO: COMPENSATION

Compensation, incentives and employee retention are intimately related. A well-designed combination of compensation and incentives, as well as the general economic condition and job market, can create a stable work force. Poor compensation and lack of incentives lead to excessive turnover and the need for the organization to constantly spend scarce resources assimilating new employees.

Compensation in resource organizations, as a rule, tends to be at or slightly below local NGOs and substantially below the local private sector. Notable exceptions are selected localities which are strongly governed by local labor laws. Participants also noted that international PVOs offer better pay than local PVOs.

RECOMMENDED SUBTOPICS: COMPENSATION

Compensation Systems
Setting Compensation Levels
Evaluating the Local Job Market
Compensation and Incentives
Compensation and Job Security

TOPIC THREE: INCENTIVES

Incentives tie more directly than salary to job performance. Incentives offer a way to compensate and motivate employees in a cash-limited environment. Several resource institutions use incentives to achieve specific results, usually increased client numbers and increased loan repayment rates. Resource institutions can benefit from learning how to design and use incentives as part of their total compensation and motivation system.

RECOMMENDED SUB-TOPICS: INCENTIVES

Monetary Incentives

- Bonuses
- Percentage Improvements
- Savings Funds

Non-Monetary Incentives

- Job-Related Training
- Skills Training
- In-Kind Incentives
- Travel

Incentives Systems

- Design
- Evaluation

TOPIC FOUR: EMPLOYEE RETENTION

Employee retention is the net balance of positive and negative job factors. Compensation and incentives, both monetary and non-monetary, enter the equation as do the policies and practices of the institution and effective individual direction and feedback (Topics 5 and 6).

The segment on employee retention should concentrate on identifying and increasing individual employee motivation toward the job. Participants suggested the following sub-topics:

RECOMMENDED SUB-TOPICS: EMPLOYEE RETENTION

Retention: The Total Picture

Acceptable Retention Levels

Working With Change

Creating a Motivating Work Environment

Identifying Motivating Factors

- Prestige
- Professional Connections
- Position Upgrades
- Decision-Making Power

Results: Timely and Visible

TOPIC FIVE: PERFORMANCE EVALUATION

Accurate job descriptions form the basis of both employee selection and employee evaluation. Most resource institutions do have some form of job descriptions, whether adapted from the organization's headquarters or developed by the institution itself. Many of these, however, consist of rather loose guidelines. Critical skills, as noted previously, are still in the process of being identified in this new field of small and micro-enterprise assistance.

Most institutions also have some form of performance evaluation procedures although their use is extremely variable. Many field offices of U.S.-based PVOs are subject to local labor laws governing evaluation and salary administration. These laws take precedence over headquarters-based performance evaluation procedures. Interpersonal difficulties, such as overcontrol by a Director, also inhibit the ability of an organization to direct and evaluate its employees. Effective performance evaluation systems can lead to greater accountability and increased employee motivation through a increased sense of fair treatment.

RECOMMENDED SUB-TOPICS: PERFORMANCE EVALUATION

Job Descriptions
Job Performance Measures
Evaluating Individual Performance
Conducting a Performance Review

TOPIC SIX: POLICIES AND PROCEDURES

In their operation, resource institutions constantly strive to balance flexibility with organization. They respond quickly to the changing needs of funders, parent organizations, clients and community and market conditions. On the other hand, they must have some stable systems in order to achieve reasonable productivity and avoid chaos. The level of formality to which policies and procedures have been developed reflects the position of these institutions on the flexibility/stability spectrum. Some institutions, due to their size or the nature of their work, have very informal procedures, which may or may not be documented. Others have well-documented policies and procedures based on those of a headquarters of parent organization and adapted to fit local laws and situations.

Participants felt that, regardless of the size or nature of a resource institution, all could benefit by articulating at least some of their policies and making them accessible to employees. Doing so greatly increases employee morale by reducing uncertainty and increasing the perception of fair treatment.

RECOMMENDED SUB-TOPICS: POLICIES AND PROCEDURES

Articulating Policy: Informal to Formal

Personnel Policies

Making Policies Accessible

Informal Write-Ups

Personnel Manuals

Adapting Existing Manuals

Creating a New Manual

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7. OTHER TRAINING TOPICS

In addition the six basic Human Resources Management topics, participants identified many other technical, management and human resources-related topics in which resource organizations need training. While outside the scope of the present project, these topics indicate a large, still-unmet organization need of resource institution. Some of this need, particularly the technical component, is already being addressed by the ARIES project. Management training still appears to be a large, felt need. Strategic planning has been addressed by the ARIES project. Subsequent projects may find it valuable to try to address some of the other areas of management training identified by respondents in this needs analysis.

PLANNING TOPICS

STRATEGIC PLANNING

- Strategic Planning
- Goal Setting
- Planning Tools

ORGANIZATIONAL ISSUES

- Board-Director Relationship
- Board-Staff Relationship
- The Organization's Constitution
- Organizational Structure
- Mission Statements
- Policy-Setting Skills
- Creating the Right Work Environment

TACTICAL (OPERATIONAL) PLANNING

- Time Management
- Scheduling (Employees, Equipment)
- Assigning Responsibility
- Setting Objectives
- Planning Tools
- Setting Project Goals

TECHNICAL TOPICS

FINANCIAL

Financial Ratios
Credit Programs
(Project) Feasibility Analysis
Accounting/Bookkeeping Systems

BUSINESS

Business Planning (for Loan Applicants)

Loan Application Requirements
Markets
Raw Materials
Cash Flow

Small Business (for Field Workers)

OTHER

Integration of Small and Micro-Enterprise Assistance with
Community Development

Credit Unions

MANAGEMENT TOPICS

LEADERSHIP

Leadership Styles
Personal/Professional Needs of
Employees

BASIC/GENERAL MANAGEMENT SKILLS

Basic/General Management Skills
Supervision
Small Organization Management

SYSTEMS

Computerization
Data Systems
Basic Management Systems

MONITORING/EVALUATION

Monitoring
Identifying, Measuring Correct
Success Indicators
Long Term Project
Monitoring/Evaluation
Project Reviews

INTERPERSONAL SKILLS

Communication
Feedback
Use of Meetings
Team/Group Building
Teamwork
Conflict Management
Measuring Personal Attitudes

PERSONAL SKILLS

Assertiveness
Stress Management
Listening

HUMAN RESOURCES TOPICS (Not Included in Six Major Topics)

Human Resources Planning
Career Pathing

RECOMMENDATIONS

1. Continue ARIES Strategic Planning training. Although it is outside the scope of the current project, planning of all kinds was identified as a major need by resource institutions.

RECOMMENDATIONS (Continued)

2. Continue and expand ARIES Credit Management training. Participants reported continuing needs for technical training in finance, feasibility analysis and business planning.
3. Examine the Management capacity-building needs of resource institutions. Consider coordinating and adapting the management training programs offered by many US-based PVOs.
4. Examine the systems, particularly computer-based, capacity-building needs of resource institutions. This need can be expected to grow significantly in the future.
5. Examine the need for and techniques for resource institutions to promote themselves and their services to clients and funding organizations.

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8. TRAINING MATERIALS, METHODS AND TECHNIQUES

The materials, methods and techniques recommended by experts interviewed during the Training Needs Analysis Phase vary a great deal. PVOs, NGOs and other resource institutions themselves differ in size, clientele they serve, level of sophistication and formality of procedures.¹ No one single method or technique will work equally well with all organizations.

Based on comments and observations made by the respondents, a set of instructional requirements emerged as guidelines for the Human Resources Management Training Program:

FLEXIBILITY

There seems to be a natural resistance if not an aversion to "prepackaged" programs among people involved in training at many PVOs. Therefore, it would be desirable to have a modular, menu-driven program for organizations (directors in some cases) to pick and choose the specific topics (together with their corresponding methods) which they believe will work for them. These methods must be familiar enough to facilitators and/or must be concisely explained in a Leader's Guide. Each organization may then determine that a specific combination of modules will comprise their "package".

SIMPLICITY

The format must be simple and easy to follow. Participants' materials need to be concisely written² (worksheet and exercise

1. See section on Audience

2. Special attention must be given to the language and literacy level of the participants. The Participants' workbooks may be highly illustrative (almost a comic book approach has been suggested). Alternative media such as videotape or computers, where possible, need not be overlooked. However, it is generally recommended that the general topic of human resources management comprises a set of skills which are best learned by explanation, example and direction by a leader or facilitator, and then

formats). A Leaders' Guide is indispensable so the facilitators know exactly how to implement the training. Charts and graphics are desirable for group instruction.

VARIETY

A range of topics¹ and a variety of methods and techniques must be built into the Human Resources Management Training Program. Generally, a workshop² format appears to be the preferred delivery vehicle. It would be highly desirable, however, to also allow for the possibility of one-on-one or two-on-one techniques which can be led by experienced staff inside organizations. This variety of methods and techniques must be reflected in exercises for individuals and activities for small groups.

IMMEDIACY AND APPLICATION

It would be best that participants begin to practice newly acquired skills during the workshop itself. The approaches used in the Human Resources Management Training Program must favor hands-on activities. These exercises need to ensure applicability to on-the-job situations. Simulations, learning games, short case studies³, etc. can effectively accomplish this

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reinforced on the job by supervisors.

1. See Topics section in this report.

2. Suggestions for workshop formats and lengths ranged from two days to two weeks. Also, a small number of experts suggested that there ought to be a circulating journal or newsletter as a vehicle for training.

3. It was suggested by several experts that the Harvard Case Method would be too long, too tedious and too expensive. It would be preferable to use more abbreviated cases (one page narratives containing critical incidents. Additionally, when cases are used, the trainers must be trained on appropriate ways to use them as tools for learning in the classroom. Here, too, close attention must be paid to the participants' ability to handle reading. In some places, even college graduates experience difficulty reading printed training materials which require them to spend more than ten minutes at one time. The

objective. The use of videotape can be effective particularly for activities that involve more than one person: interviewing, listening, coaching. ¹

EASY TO CUSTOMIZE

The Human Resources Management Training Program must lend itself to be customized to the specific needs of the organizations. Customization may be required to best accommodate: gender, education level, previous human resource management efforts, region of the world, country, trainers' and participants' preferences. It would be desirable to have a "checklist" or small questionnaire which can be used by the trainer(s) at a pre-training meeting with the organizations' staff (director only, in some cases).

This questionnaire or checklist will help the trainer(s)² and the organization to focus on the specific modules and methods used during the workshop.

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participants' reading deficiencies are not always readily apparent to facilitators.

1. Alternate learning methods and tools such as videotape, computer (short, concise directions on-the-screen), etc. should be considered wherever and whenever physically and economically feasible. There is generally too much reliance on print as a medium for learning. Consideration needs to be given to the participants' ability to read (particularly long episodes or theoretical principles).

2. To ensure effectiveness and success of the training, the trainer needs to set goals and objectives for the audience before the training takes place. The trainer needs to establish the audience's expectation for delivery: lecture, level of participation (open discussion), story telling, approximate time for exercises and activities, audience preference for certain activities such as role playing, appropriateness of a more formal or informal approach, etc.

This preliminary customization step also ensures early buy-in and involvement by the organizations' management and participants.

CULTURE AND LANGUAGE ADAPTABLE

Culture and language must be kept in mind when various methods and techniques are built into the Human Resources Management Program. It should not, as much as possible, contain allusions which are understandable or usable in only one culture or one language.

Intense cultural differences, it was felt, will make this program extremely difficult. It may even backfire for these reasons. It will be important, before delivery, to know local political, cultural and social norms and to mimic these closely. Content and delivery must be examined carefully for signs of a "northern" management perspective.

It is anticipated that all materials will be translated into the language of the audience before a workshop is presented.¹

1. It is imperative that translations be done with integrity and quality well in advance of the training. Initially, English, French and Spanish versions are a recommended.

DRAFT

9. THE TRAINER

In a couple of instances, participants commented that their organization's training programs were delivered by a local trainer. The trainer not only delivered the training in the local language, s/he also adapted the materials to suit the local institution. Both of these organizations also trained trainers. The trainers then deliver training at their own institution or at other similar institutions.

RECOMMENDATIONS

1. Use a U.S. trainer for the pilot sessions of the Human Resources Management training package. If the trainer speaks the local language of the pilot sites, deliver the training in the local language. If not, use interpreters, if necessary.
2. Use the materials as developed (translated, if necessary) for the pilot sessions.
3. Consider a trainer training component for the final version of the package. Include suggestions for doing pre-training groundwork, adapting the materials to the local institution and situation, translation and trainer coaching.

10. MARKETING

DRAFT

Human resources management is recognized as a problem more by headquarters' organizations ("experts" in the CDC needs analysis methodology) than by the resource organizations themselves. Up front, it was felt, most of these organizations would probably not identify human resources management as an important organizational need. Often the resource institution is so small that human resources is not a separate function. This poses a challenge for marketing the package. Some suggestions for marketing the package to resource institutions were:

- Make human resources management a component of a larger training package (eg. overall management training, strategic planning).
- Share information among resources institutions (eg. include options and methods used by several organizations, deliver training at meetings of several institutions).

Participants stressed, though, that care must be taken when transferring the experience of one program, no matter how seemingly successful, directly to that of another.

PROGRAM DESIGN

The package should be plainly designed for resource institutions. An effective way to do this, one participant felt, would be to design it specifically for one institution and adapt it for others' use. "Soft" skills should be woven into "harder" management topics. Specific attention should be paid to teaching managers how to implement what they learn with their staffs -- how to "sell" the concepts and techniques to their employees.

PRE-TRAINING GROUNDWORK

Several participants stressed the critical importance of getting institutional buy-in before training begins. It is absolutely essential to the success of the training that participants, both individually and as an organization, feel that THEIR needs are being met. Some suggestions for pre-training preparation were:

Establish a perceived need for the training through a participative needs analysis

Meet with participants several times during the course of preparation to overcome a "top-down" instructional approach

Have participants act as designers by setting their own objectives and providing material for case studies and examples

Establish a sense of exchange, through psychological buy-in, course charges and/or implementation commitments

The exact methods of pre-training preparation may differ in different locations but the results should be the same.

TRAINING DELIVERY OCCASIONS

Most organizations favor group-based training. Inter- and intra-organization meetings are held regularly throughout the year. Some occasions at which the Human Resources Management training might be delivered include:

In-country or international meetings of executives of resource organizations

All-staff meetings within a resource institution

Executive or staff-level meetings of several NGOs

Headquarters- or parent organization-provided management training workshops.

Meeting time is scarce and costly. Whenever the training is provided, it will have to be of fairly high intensity in order to justify its cost.

APPENDIX A

NEEDS ANALYSIS PARTICIPANTS

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TechnoServe, Inc.
Norwalk, CN

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Women's World Banking
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Jim Heinzen
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Pan American Development Fund
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World Council of Credit Unions
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World Education, Inc.
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Maria Otero *
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ACCION International
Washington, D. C.

John Rigby *
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Transcentury Corporation
Washington, D. C.

Robert Scarlett *
Chairman of the Board
Durex Products, Inc.
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Richard Slacum *
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Volunteers in Technical Assistance
(VITA)
Arlington, VA

Allison Smith
Associate Director
Private Agencies Collaborating
Together (PACT)
New York, NY

Lawrence Yanovitch
Small Enterprise Coordinator
Catholic Relief Services
New York, NY

* Personal Interview

APPENDIX B

ROSTER OF ORGANIZATIONS AND PEOPLE WHO PARTICIPATED IN THE HUMAN RESOURCES TRAINING NEEDS ANALYSIS IN COSTA RICA AND DOMINICAN REPUBLIC

COSTA RICA

ACORDE

Rafael Vargas, Executive Director *
Cecilia Calero, SME Director
(Asociación Costarricense para Organizaciones de Desarrollo)

ADAPTE

Hernán Fernández, Executive Director
(Asociación de Ayuda al Pequeño Trabajador y Empresario)

AID - CR

Flora Ruiz, Coordinator of OPDs *
U.S. Embassy

AVANCE Microempresarial

William Chacón, Director
(An OPD [Organización Privada de Desarrollo] started by ACCION)

BANCO CENTRAL

Dr. Eduardo Lizano, Gerente Banco Central
also on BOD of INCAE

FINCA

María Martha Padilla, Executive Director
(Fundación Integral)

FUCODES

Julio González, Director *
Luis Castillo, Training Programs *
(Fundación Costarricense de Desarrollo)

INA

Instituto Nacional de Aprendizaje

INCAE

John Icki, Academic Director *
Luis Noel Alfaro, Director, Programa de OPD at INCAE *
(Instituto Centroamericano de Administración de Empresas)
HURDI Carlos Rene Lagos, Director *
(Human Resources Development Institute - part of INCAE)

Ministerio de Industria

Directoría General de Asistencia a la Pequeña Empresa y Artesanía
Elsie María Conejo, Executive Director

PACT

Partnership of Agencies Collaborating Together
(Works through ACORDE - located in the same building)

APPENDIX B (Continued)

DOMINICAN REPUBLIC

AID - RD
Anne Beasley

ADEMI
Pedro J. Jiménez
Manual Ovalle

ADOPEM
Lissete Brea de Ramírez
José Agustín Deschamps
Ruth Noemí Tejada

CADEPE
Dorca Barcácel
Julio Cesar Fulcar
Margarita Vásquez

(UCE)
CATESUR
Jesús Salvador Santana
Juan Isidro Lajara
Ismael García

CATRE
Hipólito Díaz Peña
Bartolo de la Cruz
Juan José Echavarría
Freddy Cueva y Cuevas
Luz Divina Anújar

FDD
Juan A. Mejía A.

FONDESA
José Miguel Estrella

IDDI
Emilio Antonio Muñoz
Julio Castro

INDESUR
Gustavo A. Tavarez R.

Peace Corps - RD
Robert Stai Davis

PROAPE
María de Jesus Cuevas
Diego Roberto Wagner
Elías Estrella

PROPE
Carmen Orozco de Peralta
Antonio Castellanos
Luis Villar
Servante Santos Rondón
José Benito Martínez
Pablo Bienvenido Gil Santos

Rafael A. Abreu R.
Development Consultant

SOLIDARIOS
Miguel Sang Ben
Enrique A. Fernández P.
Rosa E. Columna Espailat

Univeridad Central del Este

Miguel Phipps
Miladys Santana

Everyone in DR was interviewed
personnaly at various times.