AFRICA POPULATION INSTITUTE (API)

HUMAN RESOURCE MANAGEMENT (HRM) HANDBOOK

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Forward:

API is a registered organization with 4 years' experience of supporting voluntary organizations, agencies and individuals in developing quality systems. A major part of our work is providing external evaluations and trainings to organizations or specific projects and also building capacities of the members to have relevant skills applicable to their working environment.

How we work:

We aim to understand the precise needs of your organization and to offer you good value, an integrated service, and work which is based on clear principles. Our style is inclusive, participatory and flexible.

We aim to help you:

- Develop your skills, reflect and gain focus
- Make your organization more confident, effective and efficient, and able to demonstrate this to others
- Help you plan more effectively and strategically for the future
- Demonstrate the benefits (or outcomes) for your service users.

Our approach

- Starts by listening carefully to what you need and tailoring our services accordingly
- Includes clear and practical advice, plans and reports
- Is based on extensive knowledge and experience of the voluntary sector
- Is supportive and friendly.

Courses offered in our training workshops that are client tailored

Monitoring and Evaluation Training
Project Planning and Management
Public Health and HIV/AIDS management
Guidance and Counseling Techniques
Family Planning and RH issues
Research Methods and Data management
Specialized Statistical Packages for data analysis (SPSS, STATA, EVIEWs, ATLAS TI, SUDAN, EPINFO and Epi Data etc)
Training of Trainers Course
Management and Leadership Skills Development
Procurement and Contract Management
Peace and conflict Management/Resolution
Disaster Preparedness and Management Course
Communication Skills and Technique
Heath Care Administration (HCAD)
Interdisciplinary Environmental Health Studies (ENVHs)
Substance Abuse and Addictions Management (SAAM)
Advocacy and Lobbying Techniques
Strategic Planning and Management
Business Sales and Marketing Strategies
Health Marketing and Health Promotion
Logistics, Transport and Supply Chain Management

Certificate in Human Resources management

Add value to your organization by increasing proficiency in employment law, employee benefits, employee relations, compensation, selection and staffing, and performance management and appraisal. EAPI takes a problem-based approach to learning, and builds each course around realistic case studies and scenarios. All courses are self-paced and are facilitated by EAPI Trainers, who have wide diverse knowledge and experience

Description

Human Resources is an evolving and dynamic field that challenges the ability of even the most seasoned professionals to keep abreast of policies, procedures, compliance requirements, and best practices. In response to these demands, EAPI has designed Human Resources Studies Certificate Series to improve and enhance people's careers. This course focuses on fundamental issues related to employment law, employee benefits, employee relations, compensation, selection and staffing, and performance management and appraisal.

Building a better business requires finding a better option for your human resources management courses. This is why EAPI has developed programs for human resource management to its clientele. EAPI offers human resource management training for management and professional skills development from EAPI training workshops.

Designed for generalists needing to acquire targeted skills as well as specialists needing to broaden their knowledge, these courses deliver the expertise HR professionals need to improve their performance, add greater value to their organization, and advance their careers. Participants who earn the Certificate in Human Resources Studies possess a recognized and highly-regarded credential to give them the competitive edge they are seeking.

The Certificate program provides an introduction to the disciplines and basic practices of human resources management. In addition, the Certificate program presents an overview of the specialized functions and some of the current and future issues in the area of personnel.

Who Should you Take This Certificate?

Human Resource employees and managers seeking an opportunity to obtain a richer, deeper understanding of human resources policies and practices

Certificate Information and Accreditation

The human resource certificate program consists of six major courses. You may choose to take any of these in any sequence and East Africa Population Initiative' will then award you with the certificate in Human Resources Studies.

The human resource management certificate comprises the following courses:

- Human Resources and the Law
    - Issues and Concepts in Equal Employment Opportunities Law
    - Employment Laws for the HR Professional
- Fundamentals of Employee Benefits
    - Fundamentals of Retirement Benefits
    - Fundamentals of Welfare and Flexible Benefits
- Building and Managing Employee Relations
    - Organizational Culture and Work/Life Balance
    - Communicating and Coaching and Counseling for Improved Performance
- Fundamentals of Compensation
    - Applying a Compensation Model: Internal and Legal Considerations

- Expanding the Compensation Model: External and Structural Considerations
- Selection and Staffing
  - Selection and Staffing: The Selection Process
  - Selection and Staffing: The Staffing Process
- Performance Appraisal and Management
  - Assessing, Designing, and Implementing Performance Management Systems and the process of Appraisal

The course objectives
Upon completion of this course participants are expected to;

- Understand the concepts of human resource management and personnel management
- State the issues and concepts in Equal Employment Opportunities Law
- Identify the Employment laws both national and international
- Explain the fundamentals of Retirement Benefits
- Explain Fundamentals of Welfare and Flexible Benefits
- Explain the organizational culture and Work/Life Balance
- Describe the roles of communication in management
- Understand the concepts of Coaching and Counseling for improved performance
- Apply the compensation plan for effective management
- Describe the Selection process and Staffing process
- Assess, Design and implement Performance Management Systems and Appraisal

MODULE 1: HUMAN RESOURCES AND LAW

Issues and Concepts in Human Resource Management

Management; Organization and coordination of the activities of an enterprise or organization in accordance with certain policies and in achievement of clearly defined objectives.
Human resource management (HRM) is the strategic and coherent approach to the management of an organization's most valued assets the people working there who individually and collectively contribute to the achievement of the objectives of the business. The terms "human resource management" and "human resources" (HR) have largely replaced the term "personnel management.
Personnel management is often used in a more restricted sense to describe activities that are necessary in the recruiting of a workforce, providing its members with payroll and benefits, and administrating their work-life needs. Thus humans are an organization's greatest assets; without them, everyday business functions such as managing cash flow, making business transactions, communicating through all forms of media, and dealing with customers could not be completed.

Line manager; an employee's immediate superior, who oversees and has responsibility for the employee's work. A line manager at the lowest level of a large organization is a supervisor, but a manager at any level with direct responsibility for employees' work can be described as a line manager Generally, in small organizations—those with fewer than a hundred employees—there may not be an HR department, and so a line manager will be responsible for the functions of HRM. In large organizations—those with a hundred employees or more—a human resource manager will coordinate the HRM duties and report directly to the chief executive officer (CEO). HRM staff in larger organizations may include human resource generalists and human resource specialists. As the name implies, an HR generalist is routinely involved with all seven HRM functions, while the HR specialist focuses attention on only one of the seven responsibilities
"Human resource management is responsible for how people are treated in organizations. It is responsible for bringing people into the organization, helping them ***perform their work, compensating***

them for their labors, and solving problems that arise" (Cherrington, 1995,and ensures that employees are able to meet the organization's goal.

Employment Law for the HR professionals

Equal Employment Opportunities Law

Equal Employment Opportunity is provided when all conditions of employment and management decisions are based on good, consistent, and fair human resource policy and procedure. One of the roles of HRM is to ensure neutrality in employment opportunities with regard to race, color, sex, age, religion, national origin, veteran status, disability, sexual orientation, gender identity and gender expression.

Thus it is good to continue making strong, positive efforts to ensure that minorities, women, disabled persons and veterans are given full and appropriate consideration for employment, upgrading, counseling, training, and for participating in all University sponsored programs and social activities. In today's litigious workplace environment, being on top of legal issues that directly affect individual employees and your organization is critical to your success as an HR professional. Thus we get to at the relationship between Equal Employment Opportunities (EEO) laws, Affirmative Action (AA) laws, and the concept of Diversity.

Affirmative Action is a results-oriented program that is designed to redress imbalances of minorities and women in the workforce. Most countries prohibit employers from harassing and discriminating against individuals on the basis of sex, race, age, disability, religion, ethnicity, national origin, sexual orientation, and citizenship. To defend against costly lawsuits, employers must understand these complex laws, adopt effective written policies, implement employee training, and establish clear, effective procedures for the resolution of any complaint or allegation.

An employer's best defense against discrimination is to develop a strong equal employment opportunity (EEO) policy that is clearly communicated and accepted by both managers and employees. To ensure compliance with pertinent labor laws and avoid potential liability in discrimination claims, employers must educate themselves, their supervisors, and managers about the legal issues that affect the workplace and post mandatory notices. Personnel Concepts has created a program that helps you meet your obligations as well as mitigate the risk of costly discrimination claims.

Affirmative Action and Diversity Terms and Concepts

The following terms and concepts can guide human resource managers and those individuals hoping to become HRM, manager or just employees.

Affirmative Action: Affirmative action pertains to efforts undertaken consistent with applicable law to expand employment opportunity for members of a particular race, gender, or ethnic group previously denied employment opportunities.

Availability: Availability analysis estimates the percentages of minorities and women available for employment in each identified job group. Persons available are those interested and qualified to perform the work at hand during the upcoming Affirmative Action Plan year.

Discrimination: The word discrimination is often used to mean illegal discriminatory acts. Discrimination simply means noticing the differences between things or people that are otherwise alike, and making decisions based on those differences. Discrimination in employment is differential treatment of a person by category, class or group rather than objective treatment on the basis of merit. Under equal employment opportunity law, it is unlawful to discriminate on the basis of race, color, religion, national origin, gender, age, or on the basis of disability. Discrimination can be intentional or unintentional.

Equal Employment Opportunity: Equal Employment Opportunity (EEO) is not a guarantee of employment for anyone. Under EEO law, only job-related factors can be used to determine if an individual is qualified for a particular job. Ideally, EEO laws and affirmative action programs combine to achieve equal employment opportunities.

Persons with Disabilities: In accordance with disability law, a person with disability is any person who has a physical or mental impairment that substantially limits one or more major life activities, has a record of such impairment or is regarded as having such an impairment.

Underutilization: Underutilization is having fewer minorities or women in a particular group than would reasonably be expected by their availability. It is important to learn and understand how internal and local laws affect your employees and your organization as a whole

Individuals with Disabilities: A person with a disability is someone who: (1) has a physical or mental impairment that substantially limits one or more major life activities; (2) has a record of such impairment; or (3) is regarded as having such an impairment. A major life activity means a basic function such as working, caring for oneself, walking, seeing, hearing, breathing, etc. Employees are prohibited from discriminating against qualified individuals with disabilities in all terms, conditions, and privileges of employment.

A qualified individual with a disability is a person who, with or without reasonable accommodation, can perform the essential functions of the job in question. Employers are required to make an accommodation to the known disability of a qualified applicant or employee if it would not impose an "undue hardship" on the operations of the employer's business. The employer is not required to lower quality or production standards to make an accommodation, nor is an employer obligated to provide items such as glasses or hearing aids, Disclosure of one's disability is strictly voluntary and will be kept confidential

Where can employees go for information or to seek resolution to a problem?

If you feel you have been discriminated against or harassed based on race, religion, color, national origin, sex, sexual orientation, age, disability, gender identity or gender expression, or veteran status, or just want to talk about your options or obtain additional information, please contact your supervisor, the Human Resources Department or the Office of Equal Employment Opportunity and Affirmative Action in your country

What are the equal employment opportunities laws?

B The Constitution of the Republic of Uganda contains the following provisions relevant to equality, women and employment issues.

a. The Preamble sets out the objectives of Constitution, which, include the protection of human rights, gender balance and fair representation of marginalised groups, the right to development, recognition of the role of women in society, and the recognition of the dignity of persons with disabilities.

b. Under the National Objectives and Directive Principles of State Policy, Objective XIV on social and economic objectives provides that the State shall endeavour to fulfil the fundamental rights of all Ugandans to social justice and economic development and shall in particular, ensure that:

i) all development efforts are directed at ensuring social and cultural well-being of people; and, ii) all Ugandans enjoy rights and opportunities and access to education, health services, clean and safe water, work, decent shelter, adequate clothing , food security and pension and retirement benefits.
c. Article 2(2) stipulates that if any other law or any custom is inconsistent with any of the provisions of the Constitution, the Constitution shall prevail, and that the other law or custom shall, to the extent of inconsistency, be void.
d. Article 21(1) provides that all persons are equal before and under the law in all spheres of political, economic, social and cultural life and in every other respect and shall enjoy equal protection of the law.
e. Article 21(2) prohibits discrimination on the ground of sex, race, colour, ethnic origin, tribe, birth, creed or religion, or social or economic standing, political opinion or disability. Article 21(3) defines discrimination as giving different treatment to different persons attributable only or mainly to their respective description by sex, race, colour, ethnic origin, tribe, birth, creed or religion or social or economic standing, political opinion or disability.
f. Article 25(2) prohibits forced labour.
g. Article 29(1)(e) provides that everyone shall have the right to freedom of association which shall include the freedom to form and join associations or unions, including trade unions and political and other civic organisations.
h. Article 32(1) provides for affirmative action in favour of marginalized groups on the basis of gender, age, disability or any other reason created by history, tradition or custom, for the purposes of redressing imbalances which exist against them. Article 32(2) provides for the establishment of the Equal Opportunities Commission for the purpose of giving full effect to article 32(1).
i. Article 33 provides:
i) Women shall be accorded full and equal dignity of the person with men.
ii) The State shall provide the facilities and opportunities necessary to enhance the welfare of women to enable them to realize their full potential and advancement.
iii) The State shall protect women and their rights, taking into account their unique status and natural maternal functions in society.
iv) Women shall have the right to equal treatment with men and that right shall include equal opportunities in political, economic and social activities.
v) Without prejudice to article 32 of this Constitution, women shall have the right to affirmative action for the purpose of redressing the imbalances created by history, tradition or custom.
vi) Laws, cultures, customs or traditions which are against the dignity, welfare or interest of women or which undermine their status are prohibited by this Constitution.
j. Article 40(1) instructs Parliament to enact laws:
i) to provide for the right of persons to work under satisfactory safe and healthy conditions;
ii) to ensure equal payment for equal work without discrimination; and,
iii) to ensure that every worker is accorded rest and reasonable working hours and periods of holidays with pay, as well as remuneration for public holidays.
k. Article 40(2) provides that every person in Uganda has the right to practice his or her profession and to carry on any lawful occupation, trade, or business. Article 40(3) provides that every worker has a right.
i) to form or join a trade union of his or her choice for the promotion and protection of his or her economic and social interests;
ii) to collective bargaining; and,
iii) to withdraw his or her labour according to law.
l. Article 40(4) provides that the employer of every woman worker shall accord her protection during pregnancy and after birth, in accordance with the law.
m. Article 51(1) establishes the Uganda Human Rights Commission.
n. Article 78 provides for the composition of Parliament, which must consist of:

i) one woman representative for every district and
ii) such members of representatives of the army, youth, workers, persons with disabilities and other groups as Parliament may determine.
o. Article 254(1) stipulates that a public officer shall, on retirement, receive such pension as is commensurate with his or her rank, salary and length of service.
p. Article 286(1)(b) stipulates that Uganda continues to be a party to any treaty, agreement, or convention which was in force before the coming into force of the Constitution.
ii. Employment Laws for the HR Professional
Recognize and manage legal issues in the workplace and try to improve on the understanding of organization legislation and employment law. Learn to recognize and avoid legal risk in the workplace

- Discrimination in Employment, Sexual Harassment-Hostile Work Environment, Disabilities Act, Hours-of Work/ Overtime, Worker's Compensation, Exempt Versus Non-exempt Status, Safety and Health Developments-Right-to-Know, Drug and Alcohol Testing (substance abuse), AIDS in the Workplace, Civil Rights Act (Update on all four Amendment), Tobacco Usage at the Workplace, "Just Cause" Termination, Affirmative Action /EEO, Immigration Act

You need to understand the state laws that have a day-to-day impact on human resource decisions and actions in the area of employment. This helps owners, managers, supervisors and human resource personnel avoid mistakes, and they by avoid the costly legal arena. In Uganda. There are labour laws meant to provide a win-win situation for both parties at the work place. However, they are unknown to many Ugandan employers and employees. According to information from the Ministry of Gender, Labour and Social Development, several laws enacted by parliament clearly spell out the obligations of the employer and the employee at the work place.

Major laws include the Workers Compensation Act 2000, the Minimum Wages Act 2000, the Employment Act 2006, the Labour Union Arbitration and Settlement Act 2006 and the Occupational Safety Act 2006. Under the Employment Act 2006, the conditions of employment in Uganda are stated. The aspects of employment covered here are contract of service, termination of contract, termination notices, protection of wages, hours of work, rest and holidays, employment of women, employment of children and care of employees. Sections 29 and 37 under which protection of wages falls, gives workers a right to their pay which may be a salary or wage, failure of which can result into the termination of a recruitment permit for an employer who does not pay. "Wages should be paid promptly and in any case not later than the third of the following month. Wages should be paid in local currency and unauthorised deductions cannot be made from the employee's wages.

"The authorised deductions include contributions to the National Social Security Fund. However such deductions must be paid promptly by the employer to the appropriate authority," it is further stated. Section 38 under which hours of work, rest and holidays fall, sets out an eight-hour working day and any overtime worked must be paid at one and a half times the normal rate of pay. It is further stated that, an employee whose hours of work exceed six a day, is entitled to at least an hour's break or more so that he or she does not work continuously for more than five hours. An employer is required to give his or her employee holidays with full pay at the rate of at least one and a half working days for every month of actual service.

"The law does not allow any agreement to forego holidays." Actual service is deemed to include days of weekly rest, public holidays and days of absence from work due to sickness not exceeding 30 days per year,"the law further states.
As for public holidays, it is stated, employees are entitled to resting on all public holidays as gazetted under the Public Holidays Act otherwise, "the employer is obliged to pay an employee who works on a public holiday double the normal rate or grant them a day off later with normal pay".

Employers who frequently fire workers at their will, are warned that it is a violation of the law. The right procedure to be followed according to the Ministry of Labour, is to give a one week notice for service that has lasted for less than a year, 15 days notice for service that has lasted a year but is less than three years and one months notice for service that has lasted three years but is less than five years. Two months notice should be given for service that has lasted at least five years but is less than ten years and three months notice if the service has lasted 10 years. Under the Workers Compensation Act 2000, it is stated that an employee is entitled to compensation for any personal injury from an accident arising out and in course of his employment even if the injury resulted from the employee's negligence.

"Under this Act, compensation is automatic. The compensation is to be paid by the employer whether the worker was injured as a result of his own mistake or not," it is stated. For an injury that leads to death, the compensation should be equivalent to an employers monthly pay multiplied by 60 months. In case an employee fails to resolve a dispute with their employer, they can contact the Directorate of Labour in the Ministry of Gender from where the matter can be further resolved. The Ministry resorts to its last method of referring the matter to the Industrial Court if all other methods including its intervention fail to resolve employer and employee dispute. A number of workplace safety programmes exist. However, literature indicates that they may be unsuccessful where there is a lot of pressure and staff instability.

The Constitution and international labour laws provide for safer and healthier workplace conditions and amenities. The government passed the Occupational Safety and Health (OSH) Act, 2006, which provides for the prevention and protection of persons at all workplaces from injuries, diseases, death and damage to property. The act covers not just the factory, but also any workplace where persons are employed and its provisions extend not just to employees, but also to the self-employed and any other persons who may be legitimately present at a workplace and exposed to injury or diseases. As the world celebrates the International Labour day today, it is important to remember that safety at the workplace is a prerequisite for everybody.

Employment of Women/Young Persons

Employment of women except those holding positions of management and are not performing manual work, is prohibited.

An employer is required to grant maternity leave to a pregnant female employee of 45 days for civil servants while for private employment as agreed through collective bargaining.

Contract of services cannot be made with the persons below 18 years of age. People under 16 years are not allowed to work unless on apprenticeship training. They are not allowed to work during the night in any industrial undertaking. A separate register for young persons is required, stating their age and condition and nature of their employment.

Social Security Fund

The Social Security Fund is a workers' saving scheme sponsored by the government for the benefit of members. All establishments in the country having at least five employees are required to pay Social Security contributions to the fund, including the employee's share of standard contribution based on wages earned. Employers contribute 10% of the wages/salaries and employees pay 5%.

Trade Disputes (Arbitration and Settlement)

Legal action deriving from the labour law falls within the jurisdiction of the labour courts. Questions on labour laws may be directed to the labour commissioner and advice can always be sought from the labour office of the area. Before any matter is brought to the labour court, generally there must be an attempt at conciliation heard by arbitration tribunals, Boards of Enquiry and conciliation.

Foreigners

Employers intending to bring in highly specialised workers are asked to advertise those vacancies in the local press, radio and television. Only when persons with the required expertise are not locally available should applications for work permits for foreign workers be sought from the Immigrant Control Board for a specific period of time. If an investment licence has been obtained, then the application should be made through the Uganda Investment Authority who recommends to the Immigrant Control Board whether or not the work permit should be issued.

Entry Requirements

All visitors are required to have passports valid three months after period of intended stay. Visas are required for visitors except some nationalities from commonwealth countries. The investors, workers and technocrats employed are required to pay a bond equivalent to a one-way ticket which remains their money. Work permits are given for a minimum period of one year and a maximum of three years but are renewable for a longer period.

MODULE 2: FUNDAMENTALS OF EMPLOYEE BENEFITS

Fundamentals of Retirement Benefits

Negotiate, procure, and administer attractive benefits packages. Learn how an understanding of retirement plans can enhance their value to the organization and its employees. Most people identify a financially secure retirement as one of their primary financial goals. As you begin your financial life, retirement may seem to be far over the horizon and not worth thinking about. However, by spending a little bit of time now and doing some relatively easy things, you can put yourself on the road to a financially secure retirement

There are four sources of income when you retire:

- Employer Retirement Plans
- Individual Retirement Accounts (IRAs)
- Other Personal Savings
- Social Security

The future of the Social Security system and the benefits you may receive may be open to question, but you have control over the first three listed above. By starting early and making a few wise decisions, you can determine the type of financial lifestyle you will enjoy during your retirement years, regardless of far in the future that may be.

Employer Retirement Plans - 401(k) Plans

Most large companies and many others provide a retirement plan as part of their overall employee benefits program. Plans known as 401(k) plans have become popular and relatively common. With this type of plan, employees contribute a portion of their wages to the plan (reducing their taxable income) and their employer usually matches some portion of what the employees contribute. In other words, the company helps fund your retirement and you get a tax break.

Earnings on money within the plan are not subject to tax until they are withdrawn and employees can usually choose from a number of investment choices for how their funds are invested.

There are limits on how much can be contributed, but recent tax law changes have significantly increased the amounts that can be accumulated in corporate retirement plans, especially 401(k) plans.

- Employee deferral limit.
- Additional contribution limit for those ages 50 and over -.
- Maximum total contribution limit (employee and employer) -

Take full advantage of your employer's 401(k) plan.

- Be sure to participate in a 401(k) plan if one is available.
- Contribute as much as you can to your 401(k) plan.
- Try to contribute enough to get the full employer match.
- Review your investment options and choose wisely.

Individual Retirement Accounts(IRAs)

Anyone with earned income can contribute to an IRA to supplement other retirement planning savings. Both regular IRAs and Roth IRAs provide for the tax deferred accumulation of funds within the accounts.

Contributions to a regular IRA may be deductible if you do not participate in an employer sponsored retirement plan or if your income does not exceed certain levels.

Roth IRA contributions can be made by individuals with income below certain levels. Contributions to Roth IRAs are not tax deductible, but Roth IRAs provide an additional benefit of their distributions not being subject to income tax and there is more distribution flexibility.

In addition, individuals ages 50 and over can make additional annual contributions. Here are the contribution limits for both regular and Roth IRAs.

Roth IRA and Regular IRA Contribution Limits

For tax year	IRA contribution limit	Additional contribution limits for those age 50 and over
2008	$5000	$1000
2009	$5000	$1000

If you can afford it, add to your retirement nest-egg by funding your IRA every year. Annual contributions of even $1000 can make a big difference down the road. Time is on your side.

Other Personal savings

Another source of retirement income will be your other savings. Accumulations in savings accounts and investment accounts, while not enjoying the tax preferences of 401(k) plans and IRAs, are still a major component of most individuals' retirement income. Saving more and earning more on these funds can add greatly to your retirement lifestyle.

Consider taking advantage of automatic savings plans with monthly transfers to a savings account or investment account. Be sure that your investment strategy is sound, with consideration given to your goals, your time horizons and your risk tolerance.

Social Security Retirement Benefits

The Social Security system plays a major part in retirement planning in the world. In America the current examination and debate over the future of the system has probably produced some changes for future retirees. Here are some basic facts you may want to remember:

- Full Retirement Age - the age when you can start receiving "full" benefits is gradually moving from 65 to 67.
- Early Retirement Age - at age 62, you can start receiving a reduced retirement benefit.
- Average Retirement Benefits for retired couples for 2009 - $1,876
- Maximum Retirement Benefit for retired workers at full retirement age for 2009 - $2,323.

At this point, there is very little, if anything you can do to change the benefits you will receive from Social Security. The above scenario can help you to understand and perhaps compare with your country’s programs

Fundamentals of Welfare and Flexible Benefits

As an HRM you need to learn about benefits and health plans available in your country and accurately communicate that information to your employees. Understand all available options, including flexible benefits and flexible spending accounts.

Fundamentals of employee benefit programs

Fundamentals offer a straightforward, basic explanation of employee benefit programs in the private and public sectors. Written in clear, non technical language, this fact-filled reference book covers everything from health insurance to pension plans and from retirement planning to dependent care programs. Chapters review the history of a program, outline its design and structure, and provide sources and key contacts for more information. The material in Fundamentals has been used both by business and academia in numerous educational and training programs, simplifying complex and confusing laws and regulations. Fundamentals can be divided into the following five sections;- Overview, Retirement Benefits, Health Benefits, Other Benefits, Public-Sector Benefits and Employee Benefit

Part One: Overview

1: Employee Benefits
2: Social Security
3: Social Security Disability Insurance
4: Medicare

Part Two: Retirement Benefits

5: Pension Plans
6: Defined Benefit And Defined Contribution Plans: Understanding The Differences
7: Profit Sharing Plans
8: Thrift Plans
9: 401(K) Plans
10: Employee Stock Ownership Plans
11: Cash Balance Pension Plans And Other Hybrid Retirement Plans
12: Simplified Employee Pensions
13: Nondiscrimination, Minimum Coverage, And Participation Requirements For Pension Plans
14: Integrating Pension Plans With Social Security
15: Multiemployer Plans
16: Section 403(B) Plans
17: Individual Retirement Accounts
18: Retirement Plans For The Self-Employed
19: Planning For Retirement

Part Three: Health Benefits

20: Health Benefits: Overview
21: Prescription Drug Plans
22: Dental Care Plans
23: Vision Care Plans
24: Health Promotion And Disease Management Plans
25: Mental Health And Substance Abuse Benefits
26: Retiree Health Benefits
27: Cobra Continuation Of Coverage
28: Nondiscrimination And Health Benefits
29: Managing Health Care Costs

Part Four: Other Benefits
30: Paid Leave
31: Unemployment Insurance
32: Voluntary Disability Insurance
33: Group Life Insurance Plans
34: Workers Compensation
35: Dependent Care
36: Education Assistance Benefits
37: Legal Services Plans
38: Domestic Partner Benefits

Part Five: Public-Sector Benefits
39: The Public Sector Environment
40: Benefit Cost Comparisons Between State/Local And Private-Sector Employers
41: Regulation Of Public-Sector Retirement Plans
42: Defined Benefit Pension Plans In Public Sector
43: Life Insurance In The Public Sector
44: Health Insurance In The Public Sector
45: Leave Programs In The Public Sector
46: Defined Contribution And Supplemental Savings Plans In The Public Sector

The main goal of a successful retirement program is to ensure you will have sufficient financial resources to maintain or improve your lifestyle during your retirement years. According to some financial planning experts, to do so, you will need to save enough so that your retirement income is 70-80% of your pre-retirement income, and you will need a higher percentage if you plan to improve your standard of living. Building such savings requires careful planning, which includes assessing your current assets, the number of years left until retirement and how much you'll be able to save during your pre-retirement years. The following, is a list of some of the steps to take when implementing your retirement program.

Take Stock of what you already have;

If you are not a financial planning expert or have the time necessary to implement and manage a retirement program, you may need the help of a competent financial planner. If you do go to see one, s/he will need to assess your current financial status in order to design a realistic and successful retirement program. You therefore need to provide detailed information about your financial affairs. Documents your financial planner may need generally include:

- copies of most recent account statements, including regular savings, checking, retirement savings, annuity products, credit cards and other debts
- a copy of amortization schedules or summaries of any mortgages
- copies of your tax return for the last three years
- a copy of your most recent pay stub
- health and life insurance contracts
- a list of your monthly expenses
- any other documents you think may be important to your financial planning process

Ascertain How Much You Will Need for Retirement;

One popular approach to retirement planning starts with determining how much you'll need to finance your retirement years, this is usually based on projected cost-of-living increases, the number of years you're likely to spend in retirement and the lifestyle you plan to lead during retirement. But projecting an amount isn't an exact science: the years you spend in retirement may be more or less than you project, and the same may go for cost-of-living increases. However, a comprehensive outlook and some thought will help to provide realistic projections. Here are some factors to consider:

- your projected everyday living expenses
- your life expectancy
- your projected costs
- your resources other than your retirement savings that cover unplanned expenses; such resources may include long-term care insurance, annuity products and health insurance
- your property: if you own your home (i.e. have no outstanding mortgage balance), or will own your home by the time you retire, you have the option of selling it or obtaining income through a reverse mortgage
- your intended lifestyle during retirement: do you plan to lead a quiet retirement or do things like travel around the world and other activities that may be expensive?

Determine What You Need to Save and How;
Once you have factored in the above considerations, it's necessary to determine how much you will need to save on your own. First consider the possible sources of income you will have during retirement. A complete retirement income package is commonly referred to as a "three-legged stool", comprising your social security, employer-sponsored retirement plans (such as a qualified plans) and, finally, your personal savings. So, of course, the amount of personal savings you need to achieve depends on the contributions to retirement accounts by your employer and your projected income from social security.

Your next consideration is the type of saving vehicle you use for your personal savings - this will affect your required annual savings. The amount varies depending on whether your means of savings are in pre-tax, after-tax, tax-free or tax-deferred accounts or a combination thereof. They type of savings account you choose depends on - among other things - whether it is better for you to pay tax on your savings before or after retirement.

Saving in a tax-deferred vehicle, such as a Traditional IRA or 401(k) plan, may reduce your current taxable income. If you have a 401(k), your taxable income is reduced by what income you defer to the plan, and if you have a Traditional IRA, you may be able to claim your contributions as a tax deduction. Earnings in such vehicles also accrue on a tax-deferred basis, but the assets are taxed when you distribute them from the retirement account. You may pay less income taxes on amounts saved on a pre-tax basis, if you make withdrawals during retirement and your income tax rate is lower than it is in your pre-retirement years.

By using post-tax funds to save for retirement, you won't have to pay tax again when you withdraw them during retirement. Unless you use a Roth IRA, however, your earnings on post-tax funds are usually not tax deferred. So when you withdraw these amounts, they may be taxed at your ordinary income tax rate or at a capital gains rate, depending on the type of income and the duration for which you held the investments.

If you are eligible for a Roth IRA, you may want to ask your financial planner whether it is beneficial for you to use one even for only part of your savings. Roth IRAs are funded with after-tax assets, earnings accrue on a tax-deferred basis, and distributions are tax free if you meet certain requirements.

Find the Extra Money for Savings;
It's one thing to figure out how much you need during retirement, how much you need to save and what account you will use to do so. But the primary challenge is finding the extra funds to put toward

savings, especially if your budget is already spread thin. For many, this means changing spending habits, re-budgeting and redefining needs vs wants. (For tips on saving for retirement and identifying sources of assets that can be retargeted for savings, you may refer to Making Salary Deferral Contributions as well as Seven Common Financial Mistakes.)

Invest Your Savings;
Once you are able to allocate a part of your monthly income to your savings, you need to think about investing those amounts. Investing puts your money to work for you and usually gives you the benefits of compound interest. Investing is integral to ensuring your retirement program meets your goals. And the earlier you start, the easier it will be for you to do so.

The types of investments that are suitable for your portfolio will depend primarily on your risk tolerance. Generally, the closer you are to your targeted retirement date, the lower your risk tolerance will be. The idea is that those who have a longer time until retirement have more opportunity to recoup any losses that may occur on investments. So someone who is in his/her early twenties may have a portfolio that includes more high-risk investments such as stocks. Someone who is in his or her sixties, on the other hand, will have a higher concentration of investments with guaranteed rates of return such as certificate of deposits or government securities.

Regardless of risk tolerance, it is important to achieve an appropriately diversified portfolio, one that maximizes return for its determined risk. If you are new to investing, Planning starts with determining how much you'll need to finance your retirement years. This is usually based on projected cost-of-living increases, the number of years you're likely to spend in retirement and the lifestyle you plan to lead during retirement. But projecting an amount isn't an exact science: the years you spend in retirement may be more or less than you project, and the same may go for cost-of-living increases. However, a comprehensive outlook and some thought will help to provide realistic projections. Here are some factors to consider:

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- Your intended lifestyle during retirement: do you plan to lead a quiet retirement or do things like travel around the world and other activities that may be expensive?

MODULE 3: BUILDING AND MANAGING EMPLOYEE RELATIONS

Organizational Culture and Work/Life Balance
Use a strong employee relations program to inspire optimal performance from employees. Promote balance between work and life and recognize how everyone’s actions reflect corporate culture and strategy. Work-life balance is defined as being about “effectively managing the juggling act between paid work and the other activities that are important to people”. This notes that it is not about saying work is wrong or bad, but that “it shouldn’t crowd out the other things that matter to people, like time with family, participation in community activities, voluntary work, personal development, leisure and recreation”. It also points out that there is no “one size fits all solution”. The “right” balance is a very personal thing that differs for different people and at different stages of the life course. While for some the issue is having too much work, others do not have enough.

Workplace /work-life culture

Organizational culture is defined as the set of shared values and norms that characterize what is held to be important in the organization. It is more informally described as "the way we do things around here". Lewis (2001) cites a definition from Pemberton (1995) as "a deep level of shared beliefs and assumptions, which often operate unconsciously, are developed over time embedded in an organisation's historical experiences". Cultures that were initially functional may become dysfunctional as social circumstances change over time. The "ideal worker" workplace culture that developed around male breadwinner female caregiver models of families is now in conflict with gender equality, female labour force participation and dual income families. A supportive work-life culture is defined by Thompson et al (1999) as "the shared assumptions, beliefs and values regarding the extent to which organizations value and support the integration of work and family lives, for women and men".

The concept of work-life balance also includes the priority that work takes over family, working long hours, and work intensification. Work intensification, defined by Burchell (2006, p.21) as "the increasing effort that employees put into the time that they are working" or the amount of work done in a day, the pace of work and its depletion of energy for activities outside of work, is also an issue affecting work-life balance. Public submissions to the Department of Labour (2004a) and the New Zealand Council of Trade Unions (2002) study identified increased intensification of work, partly due to reduced staffing as a major issue for work-life balance, along with long hours and working non-standard hours.

Work-life balance is an issue not just for individuals, but for employers, the market, the state and society as a whole. The future workforce and consumer market is dependent on women bearing, and parents raising, children. The move from a single male breadwinner family model to one where both parents participate in paid employment has made it increasingly difficult to raise children while the workplace continues to be modelled on male breadwinner workers.

Discretionary effort was defined by the Corporate Leadership Council (CLC), (2002:4b) as the "extent to which employees put their full effort into their job, are constantly looking for ways to do their job better, are willing to put in the extra effort to get a job done when necessary, and believe that people would describe them as enthusiastic about the work they do". Their definition included a "willingness to go above and beyond the call of duty, such as helping others with heavy workloads, volunteering for additional duties, and looking for ways to perform their jobs more effectively". Needham (2005) translates this as "how we get people to produce more, to do more than their jobs, to give us their all, ie. bust their butts for the organisation". Needham formally defines discretionary effort as "additional effort over and above requirements of a job description….the difference between how well people actually perform and how well they are capable of performing". She estimates this could represent a range of performance as broad as 20% to 40% above actual performance.5 This represents an "unmanaged and unrealised resource" for organisations.

Employee engagement has been identified as critical to competitive advantage in a labour market where skilled, committed people are increasingly hard to find and keep. Many of the factors that impact on employee engagement have been identified, or at least speculated on. In this exploratory research, the EEO Trust investigates whether supporting work-life balance results in a more engaged workforce which gives greater discretionary effort at work. We found that the answer is "yes, but…." The business benefits of increased employee engagement, including improved retention, more discretionary effort and greater productivity, will only accrue if work-life balance is genuinely valued and promoted throughout the workplace. The views and behaviour of senior managers, line managers and colleagues all impact on whether employees feel able to take advantage of workplace initiatives to achieve better balance in their working and personal lives. If the initiatives are there but the workplace culture does not support the use of them, their value is at best minimal, at worst negative, leading to cynicism and resentment.

Communicating, Coaching and Counseling for Improved Performance

Improve performance and resolve workplace issues through effective communications with all members of an organization. Being able to communicate effectively is a necessary and vital part of the job for every emergency manager, planner, and responder. It is necessary as an HRM to improve communication skills as it enhances employee relations effective communication is a must at work. People in organizations typically spend over 75% of their time in an interpersonal situation; thus it is no surprise to find that at the root of a large number of organizational problems is poor communications. Effective communication is an essential component of organizational success whether it is at the interpersonal, intergroup, intragroup, organizational, or external levels. In this session we will cover the basic process of communication and then we will cover some of the most difficult communication issues managers face-providing constructive and effective feedback and performance appraisal.

The Communication Process

Although all of us have been communicating with others since our infancy, the process of transmitting information from an individual (or group) to another is a very complex process with many sources of potential error.

Consider the simple example:

- Terry: "I won't make it to work again tomorrow; this pregnancy keeps me nauseous and my doctor says I should probably be reduced to part time.
- Boss: Terry, this is the third day you've missed and your appointments keep backing up; we have to cover for you and this is messing all of us up.

Message to be sent	Decode some error likely	encoded by receiver some error likely)	message received

In any communication at least some of the "meaning" lost in simple transmission of a message from the sender to the receiver. In many situations a lot of the true message is lost and the message that is heard is often far different than the one intended. This is most obvious in cross-cultural situations where language is an issue. But it is also common among people of the same culture.

Look at the example. Terry has what appears to be a simple message to convey-she won't make it to work today because of nausea. But she had to translate the thoughts into words and this is the first potential source of error. Was she just trying to convey that she would be late; was she trying to convey anything else. It turns out she was. She was upset because she perceived that her co-workers weren't as sympathetic to her situation as they should be. Her co-workers, however, were really being pressured by Terry's continued absences, and her late calls. They wished she would just take a leave of absence, but Terry refuses because she would have to take it without pay. Thus what appears to be a simple communication is, in reality, quite complex. Terry is communicating far more than that she would miss work; she is conveying a number of complex emotions, complicated by her own complex feelings about pregnancy, work, and her future. She sent a message but the message is more than the words; it includes the tone, the timing of the call, and the way she expressed herself.

Similarly, the boss goes through a complex communication process in "hearing" the message. The message that Terry sent had to be decoded and given meaning. There are many ways to decode the simple message that Terry gave and the way the message is heard will influence the response to Terry. In this case the boss heard far more than a simple message that Terry won't be at work today. The boss "heard" hostility from Terry, indifference, lack of consideration, among other emotions. Terry may not have meant this, but this is what the boss heard.

Communications is so difficult because at each step in the process there major potential for error. By the time a message gets from a sender to a receiver there are four basic places where transmission errors can take place and at each place, there are a multitude of potential sources of error. Thus it is no surprise that social psychologists estimate that there is usually a 40-60% loss of meaning in the transmission of messages from sender to receiver.
It is critical to understand this process, understand and be aware of the potential sources of errors and constantly counteract these tendencies by making a conscientious effort to make sure there is a minimal loss of meaning in your conversation.

It is also very important to understand that a majoring of communication is non-verbal. This means that when we attribute meaning to what someone else is saying, the verbal part of the message actually means less than the non-verbal part. The non-verbal part includes such things as body language and tone.

Barriers to Effective Communication

There are a wide number of sources of noise or interference that can enter into the communication process. This can occur when people now each other very well and should understand the sources of error. In a work setting, it is even more common since interactions involve people who not only don't have years of experience with each other, but communication is complicated by the complex and often conflictual relationships that exist at work. In a work setting, the following suggests a number of sources of noise:

- Language: The choice of words or language in which a sender encodes a message will influence the quality of communication. Because language is a symbolic representation of a phenomenon, room for interpreation and distortion of the meaning exists. In the above example, the Boss uses language (this is the third day you've missed) that is likely to convey far more than objective information. To Terry it conveys indifference to her medical problems. Note that the same words will be interpreted different by each different person. Meaning has to be given to words and many factors affect how an individual will attribute meaning to particular words. It is important to note that no two people will attribute the exact same meaning to the same words.
- defensiveness, distorted perceptions, guilt, project, transference, distortions from the past
- misreading of body language, tone and other non-verbal forms of communication (see section below)
- noisy transmission (unreliable messages, inconsistency)
- receiver distortion: selective hearing, ignoring non-verbal cues
- power struggles
- self-fulfilling assumptions
- language-different levels of meaning
- managers hesitation to be candid
- Assumptions-eg. assuming others see situation same as you, has same feelings as you
- distrusted source, erroneous translation, value judgment, state of mind of two people
- Perceptual Biases: People attend to stimuli in the environment in very different ways. We each have shortcuts that we use to organize data. Invariably, these shortcuts introduce some biases

into communication. Some of these shortcuts include stereotyping, projection, and self-fulfilling prophecies. Stereotyping is one of the most common. This is when we assume that the other person has certain characteristics based on the group to which they belong without validating that they in fact have these characteristics.

- Interpersonal Relationships: How we perceive communication is affected by the past experience with the individual. Perception is also affected by the organizational relationship two people have. For example, communication from a superior may be perceived differently than that from a subordinate or peer
- Cultural Differences: Effective communication requires deciphering the basic values, motives, aspirations, and assumptions that operate across geographical lines. Given some dramatic differences across cultures in approaches to such areas as time, space, and privacy, the opportunities for mis-communication while we are in cross-cultural situations are plentiful.

You work in a Japanese company in the US. You have noticed that the Japanese staff explains only the conclusion to Americans when they address a problem, rather than discussing the steps to the conclusion. Also, the Japanese staff sends reports directly to Japan without showing them to you.

Reading Nonverbal Communication Cues

A large percentage (studies suggest over 90%) of the meaning we derive from communication, we derive from the non-verbal cues that the other person gives. Often a person says one thing but communicates something totally different through vocal intonation and body language. These mixed signals force the receiver to choose between the verbal and nonverbal parts of the message. Most often, the receiver chooses the nonverbal aspects. Mixed messages create tension and distrust because the receiver senses that the communicator is hiding something or is being less than candid.

Nonverbal communication is made up of the following parts:

1. Visual
2. Tactile
3. Vocal
4. Use of time, space, and image
5. Physical Space

Visual:

This often called body language and includes facial expression, eye movement, posture, and gestures. The face is the biggest part of this. All of us "read" people's faces for ways to interpret what they say and feel. This fact becomes very apparent when we deal with someone with dark sunglasses. Of course we can easily misread these cues especially when communicating across cultures where gestures can mean something very different in another culture. For example, in American culture agreement might be indicated by the head going up and down whereas in India, a side-to-side head movement might mean the same thing.

We also look to posture to provide cues about the communicator; posture can indicate self-confidence, aggressiveness, fear, guilt, or anxiety. Similarly, we look at gestures such as how we hold our hands, or a handshake. Many gestures are culture bound and susceptible to misinterpretation

Tactile:

This involves the use of touch to impart meaning as in a handshake, a pat on the back, an arm around the shoulder, a kiss, or a hug.

Vocal:

The meaning of words can be altered significantly by changing the intonation of one's voice. Think of how many ways you can say "no"-you could express mild doubt, terror, amazement, anger among other emotions. Vocal meanings vary across cultures. Intonation in one culture can mean support; another anger

Use of Time as Nonverbal Communication:

Use of time can communicate how we view our own status and power in relation to others. Think about how a subordinate and his/her boss would view arriving at a place for an agreed upon meeting..

Physical Space:

For most of us, someone standing very close to us makes us uncomfortable. We feel our "space" has been invaded. People seek to extend their territory in many ways to attain power and intimacy. We tend to mark our territory either with permanent walls, or in a classroom with our coat, pen, paper, etc. We like to protect and control our territory. For Americans, the "intimate zone" is about two feet; this can vary from culture to culture. This zone is reserved for our closest friends. The "personal zone" from about 2-4 feet usually is reserved for family and friends. The social zone (4-12 feet) is where most business transactions take place. The "public zone" (over 12 feet) is used for lectures.

At the risk of stereotyping, we will generalize and state that Americans and Northern Europeans typify the noncontact group with small amounts of touching and relatively large spaces between them during transactions. Arabs and Latins normally stand closer together and do a lot of touching during communication. Similarly, we use "things" to communicate. This can involve expensive things, neat or messy things, photographs, plants, etc. Image: We use clothing and other dimensions of physical appearance to communicate our values and expectations Nonverbal Communication:

The use of gestures, movements, material things, time, and space can clarify or confuse the meaning of verbal communication. In the above example, factors such as Terry's tone, the time of Terry's call, will probably play a greater role in how the message is interpreted than the actual words themselves. Similarly, the tone of the boss will probably have a greater impact on how his message is interpreted than the actual words.

A "majority" of the meaning we attribute to words comes not from the words themselves, but from nonverbal factors such as gestures, facial expressions, tone, body language, etc. Nonverbal cues can play five roles:

1. Repetition: they can repeat the message the person is making verbally
2. Contradiction: they can contradict a message the individual is trying to convey
3. Substitution: they can substitute for a verbal message. For example, a person's eyes can often convey a far more vivid message than words and often do
4. Complementing: they may add to or complement a vebal message. A boss who pats a person on the back in addition to giving praise can increase the impact of the message
5. Accenting: non-verbal communication may accept or underline a verbal message. Pounding the table, for example, can underline a message.

Skillful communicators understand the importance of nonverbal communication and use it to increase their effectiveness, as well as use it to understand more clearly what someone else is really saying. A word of warning. Nonverbal cues can differ dramatically from culture to culture. An American hand gesture meaning "A-OK" would be viewed as obscene in some South American countries, A kiss or hag has different meanings in different cultures. Be careful.

Developing Communication Skills: Listening Skills

There are a number of situations when you need to solicit good information from others; these situations include interviewing candidates, solving work problems, seeking to help an employee on work performance, and finding out reasons for performance discrepancies.

Skill in communication involves a number of specific strengths. The first we will discuss involves listening skills. The following lists some suggests for effective listening when confronted with a problem at work:

- Listen openly and with empathy to the other person
- Judge the content, not the messenger or delivery; comprehend before you judge
- Use multiple techniques to fully comprehend (ask, repeat, rephrase, etc.)
- Active body state; fight distractions
- Ask the other person for as much detail as he/she can provide; paraphrase what the other is saying to make sure you understand it and check for understanding
- Respond in an interested way that shows you understand the problem and the employee's concern
- Attend to non-verbal cues, body language, not just words; listen between the lines
- Ask the other for his views or suggestions
- State your position openly; be specific, not global
- Communicate your feelings but don't act them out (eg. tell a person that his behavior really upsets you; don't get angry)
- Be descriptive, not evaluative-describe objectively, your reactions, consequences
- Be validating, not invalidating ("You wouldn't understand"); acknowledge other;'s uniqueness, importance
- Be conjunctive, not disjunctive (not "I want to discuss this regardless of what you want to discuss");
- Don't totally control conversation; acknowledge what was said
- Own up: use "I", not "They"... not "I've heard you are noncooperative"
- Don't react to emotional words, but interpret their purpose
- Practice supportive listening, not one way listening
- Decide on specific follow-up actions and specific follow up dates

A major source of problem in communication is defensiveness. Effective communicators are aware that defensiveness is a typical response in a work situation especially when negative information or criticism is involved. Be aware that defensiveness is common, particularly with subordinates when you are dealing with a problem. Try to make adjustments to compensate for the likely defensiveness. Realize that when people feel threatened they will try to protect themselves; this is natural. This defensiveness can take the form of aggression, anger, competitiveness, avoidance among other responses. A skillful listener is aware of the potential for defensiveness and makes needed adjustment. He or she is aware that self-protection is necessary and avoids making the other person spend energy defending the self. In addition, a supportive and effective listener does the following:

- Stop Talking: Asks the other person for as much detail as he/she can provide; asks for other's views and suggestions
- Looks at the person, listens openly and with empathy to the employee; is clear about his position; be patient
- Listen and Respond in an interested way that shows you understand the problem and the other's concern
- is validating, not invalidating ("You wouldn't understand"); acknowledge other;'s uniqueness, importance
- checks for understanding; paraphrases; asks questions for clarification
- don't control conversation; acknowledges what was said; let's the other finish before responding
- Focuses on the problem, not the person; is descriptive and specific, not evaluative; focuses on content, not delivery or emotion

- Attend to emotional as well as cognitive messages (e.g., anger); aware of non-verbal cues, body language, etc.; listen between the lines
- React to the message, not the person, delivery or emotion
- Make sure you comprehend before you judge; ask questions
- Use many techniques to fully comprehend
- Stay in an active body state to aid listening
- Fight distractions
- (if in a work situation) Take Notes; Decide on specific follow-up actions and specific follow up dates.

Constructive Feedback: Developing your Skills

"I don't know how to turn her performance around; she never used to have these attendance problems and her work used to be so good; I don't know why this is happening and what to do." This manager is struggling with one of the most important yet trickiest and most difficult management tasks: providing constructive and useful feedback to others. Effective feedback is absolutely essential to organizational effectiveness; people must know where they are and where to go next in terms of expectations and goals-yours, their own, and the organization.

Feedback taps basic human needs-to improve, to compete, to be accurate; people want to be competent. Feedback can be reinforcing; if given properly, feedback is almost always appreciated and motivates people to improve. But for many people, daily work is like bowling with a curtain placed between them and the pins; they receive little information.

Be aware of the many reasons why people are hesitant to give feedback; they include fear of causing embarassment, discomfort, fear of an emotional reaction, and inability to handle the reaction. It is crucial that we realize how critical feedback can be and overcome our difficulties; it is very important and can be very rewarding but it requires skill, understanding, courage, and respect for yourself and others.

Withholding constructive feedback is like sending people out on a dangerous hike without a compass. This is especially true in today's fast changing and demanding workplace

Why managers are often reluctant to provide feedback

As important as feedback is, this critical managerial task remains one of the most problematic. Many managers would rather have root canal work than provide feedback to another-especially feedback that might be viewed as critical. Why are managers so reluctant to provide feedback? The Reasons are many:

- fear of the other person's reaction; people can get very defensive and emotional when confronted with feedback and many managers are very fearful of the reaction
- the feedback may be based on subjective feeling and the manager may be unable to give concrete information if the other person questions the basis for the feedback
- the information on which the feedback is based (e.g. performance appraisal) may be a very flawed process and the manager may not totally trust the information
- many managers would prefer being a coach than "playing God."

Other factors get in the way of effective communication or feedback sessions. Some of these reasons are:

- defensiveness, distorted perceptions, guilt, project, transference, distortions from the past
- misreading of body language, tone
- noisy transmission (unreliable messages, inconsistency)

- receiver distortion: selective hearing, ignoring non-verbal cues
- power struggles
- self-fulfilling assumptions
- language-different levels of meaning
- managers hesitation to be candid
- assumptions-eg. assuming others see situation same as you, has same feelings as you
- distrusted source, erroneous translation, value judgment, state of mind of two people

Characteristics of Effective Feedback

Effective Feedback has most of the following characteristics:

- descriptive (not evaluative)(avoids defensiveness.) By describing one's own reactions, it leaves the individual fee to use it or not to use it as he sees fit.
- avoid accusations; present data if necessary
- describe your own reactions or feelings; describe objective consequences that have or will occur; focus on behavior and your own reaction, not on other individual or his or her attributes
- suggest more acceptable alternative; be prepared to discuss additional alternatives; focus on alternatives
- specific rather than general.
- focused on behavior not the person. It is important that we refer to what a person does rather than to what we think he is. Thus we might say that a person "talked more than anyone else in this meeting" rather than that he is a "loud-mouth."
- It takes into account the needs of both the receiver and giver of feedback. It should be given to help, not to hurt. We too often give feedback because it makes us feel better or gives us a psychological advantage.
- It is directed toward behavior which the receiver can do something about. A person gets frustrated when reminded of some shortcoming over which he has no control.
- It is solicited rather than imposed. Feedback is most useful when the receiver himself has formulated the kind of question which those observing him can answer or when he actively seeks feedback.
- Feedback is useful when well-timed (soon after the behavior-depending, of course, on the person's readiness to hear it, support available from others, and so forth). Excellent feedback presented at an inappropriate time may do more harm than good.
- sharing of information, rather than giving advice allows a person to decide for himself, in accordance with his own goals and needs. When we give advice we tell him what to do, and to some degree take away his freedom to do decide for himself.
- It involves the amount of information the receiver can use rather than the amount we would like to give. To overload a person with feedback is to reduce the possibility that he may be able to use what he receives effectively. When we give more than can be used, we are more often than not satisfying some need of our own rather than helping the other person.
- It concerns what is said and done, or how, not why. The "why" involves assumptions regarding motive or intent and this tends to alienate the person generate resentment, suspicion, and distrust. If we are uncertain of his motives or intent, this uncertainty itself is feedback, however, and should be revealed.
- It is checked to insure clear communication. One way of doing this is to have the receiver try to rephrase the feedback. No matter what the intent, feedback is often threatening and thus subject to considerable distortion or misinterpretation.
- It is checked to determine degree of agreement from others. Such "consensual validation" is of value to both the sender and receiver.

- It is followed by attention to the consequences of the feedback. The supervisor needs to become acutely aware of the effects of his feedback.
- It is an important step toward authenticity. Constructive feedback opens the way to a relationship which is built on trust, honest, and genuine concern and mutual growth.

Part of the feedback process involves understanding and predicting how the other person will react. Or in the case of our receiving feedback, we need to understand ways that we respond to feedback, especially threatening feedback. People often react negatively to threatening feedback. This reaction can take a number of forms including:

- selective reception and selective perception
- doubting motive of the giver
- denying validity of the data
- rationalizing
- attack the giver of the data

Following the guidelines to effective feedback can go a long way to limit these kinds of reactions but we need to be conscious of them nonetheless and be ready to react appropriately. When we are on the receiving end of feedback we should be careful to avoid these pitfalls. Try to keep these points in mind.

- try not to be defensive
- check on possible misunderstanding ("Let me restate what I am hearing")
- gather information from other sources
- don't overreact
- ask for clarification

A Short Example of Effective Communication

Maria: My project coordinator, Judy, is in a slump; she's just not producing her usual caliber of work. I need to find out what the problem is.

On the surface, it would seem that getting good information is easy. But like other forms of communication, it takes planning and experience to develop skills in this area

Key Techniques

Focus the discussion on the information needed Judy, I've noticed in the past month that you've fallen behind on keeping the project schedule current. I'd like to figure out with you what we both can do to get it back on track.

Use open-ended questions to expand the discussion You've always kept the schedule up to the minute-until about a month ago. Why the change?

Use closed ended questions to prompt for specifics "What projects are you working on that take time away from your work on this project (warning: closed ended questions are often disguised as open ended as in "Are you going to have trouble finishing this project?)

Encourage dialogue through eye contact and expression This involves nodding in agreeemnt, smiling, leaning toward the speaker, making statements that acknowledge the speaker is being heard.

State your understanding of what you are hearing This can be done by restating briefly what the other person is saying but don't make fun of it "So it sounds like these phone calls have ended up taking a lot more time than you or Jay expected; you think the three of us should talk about priorities; is this your position?"

Summarize the key points; try to get some agreement on the next steps and show appreciation for the effort made so far. "So let's call Jay right now and set up a time when we can meet and iron this out; keeping the schedule updated is a high priority and I'd like to get this settled by Wednesday.

A Planning Form for Constructive Feedback
Instructions: Before the feedback session, answer these questions:

- what is your purpose in giving the feedback
- what specific actions do you want to reinforce or correct? what are the consequences of the action?
- what do you want to accomplish in this discussion
- what specific information do you need to learn; what questions do you need answered
- what issues of timing, location, advance preparation, or other logistics do you need to consider to get the most out of the discussion

Observe the basic principles of communication

- use open ended and close ended questions appropriately
- use eye contact, encouraging gestures
- focus on the situation, issue, behavior, not the person
- maintain the self-confidence and self-esteem of others
- maintain constructive relationships with your employees, peers, managers
- use active listening techniques such as stating your understanding of what you are hearing
- make sure you summarize
- lead by example

What pitfalls do you need to watch out for and how will these be overcome: from your experience, what potential pitfalls will you need to overcome in order ot achieve success in giving constructive feedback? How will you overcome these pitfalls.

Evaluating the Feedback Session

1. State the constructive purpose of your feedback
2. describe specifically what you have observed
3. describe your reactions
4. give the other person an opportunity to respond
5. offer specific suggestions
6. summarize and express your support

How well did the manager:

- focus on the situation,
- issue or behavior, not on the person
- maintain the self-confidence
- and self-esteem of the other
- maintain constructive relationships
- with your employees, peers, and managers
- take initiative to make things better
- lead by example

The Four Basic Styles of communication:
The way you communicate has a big impact on your ability to get on with people and get the things that you want. Good communication skills can help you to avoid conflict and to solve problems. Open and honest communication is also important for making friends and having healthy relationships. Those of us who grew up in dysfunctional families may have never learned to communicate effectively in relationships. We may be passive and not advocate for ourselves, aggressive and attempt to run roughshod over others, or passive-aggressive and smile while sabotaging others behind their

backs. No wonder we have so many problematic relationships and feel so isolated! In order to build healthy relationships, we must learn to be assertive-that is, to be clear, direct, and respectful in how we communicate.

Passive, Aggressive, Passive-Aggressive and Assertive communication styles

PASSIVE COMMUNICATION is a style in which individuals have developed a pattern of avoiding expressing their opinions or feelings, protecting their rights, and identifying and meeting their needs. Passive communication is usually born of low self-esteem. These individuals believe: "I'm not worth taking care of." As a result, passive individuals do not respond overtly to hurtful or anger-inducing situations. Instead, they allow grievances and annoyances to mount, usually unaware of the build up. But once they have reached their high tolerance threshold for unacceptable behavior, they are prone to explosive outbursts, which are usually out of proportion to the triggering incident. After the outburst, however, they feel shame, guilt, and confusion, so they return to being passive.

Passive communicators will often:
- fail to assert for themselves
- allow others to deliberately or inadvertently infringe on their rights
- fail to express their feelings, needs, or opinions
- tend to speak softly or apologetically
- exhibit poor eye contact and slumped body posture

The impact of a pattern of passive communication is that these individuals:
- often feel anxious because life seems out of their control
- often feel depressed because they feel stuck and hopeless
- often feel resentful (but are unaware of it) because their needs are not being met
- often feel confused because they ignore their own feelings
- are unable to mature because real issues are never addressed

A passive communicator will say, believe, or behave like:
- "I'm unable to stand up for my rights."
- "I don't know what my rights are."
- "I get stepped on by everyone."
- "I'm weak and unable to take care of myself."
- "People never consider my feelings."

2. AGGRESSIVE COMMUNICATION is a style in which individuals express their feelings and opinions and advocate for their needs in a way that violates the rights of others. Thus, aggressive communicators are verbally and/or physically abusive. Aggressive communication is born of low self-esteem (often caused by past physical and/or emotional abuse), unhealed emotional wounds, and feelings of powerlessness.

Aggressive communicators will often:
- try to dominate others
- use humiliation to control others
- criticize, blame or attack others
- be very impulsive
- have low frustration tolerance
- speak in a loud, demanding, and overbearing voice
- act threateningly and rudely

- not listen well
- interrupt frequently
- use "you" statements
- have piercing eye contact and an overbearing posture

The impact of a pattern of aggressive communication is that these individuals:
- become alienated from others
- alienate others
- generate fear and hatred in others
- always blame others instead of owning their issues, and thus are unable to mature

The aggressive communicator will say, believe, or behave like:
-"I'm superior and right and you're inferior and wrong."
- "I'm loud, bossy and pushy."
- "I candominate and intimidate you."
-"I can violate your rights."
- "I'll get my way no matter what."
-"You're not worth anything."
- "It's your entire fault."
- "I react instantly."
- "I'm entitled."
- "You owe me."
- "I own you."

3. PASSIVE-AGGRESSIVE COMMUNICATION is a style in which individuals appear passive on the surface but are really acting out anger in a subtle, indirect, or behind-the-scenes way. Prisoners of War (POWs) often act in passive-aggressive ways to deal with an overwhelming lack of power. POWs may try to secretly sabotage the prison, make fun of the enemy, or quietly disrupt the system while smiling and appearing cooperative.

People who develop a pattern of passive-aggressive communication usually feel powerless, stuck, and resentful – in other words, they feel incapable of dealing directly with the object of their resentments. Instead, they express their anger by subtly undermining the object (real or imagined) of their resentments. They smile at you while setting booby traps all around you.

Passive-Aggressive communicators will often:
- mutter to themselves rather than confront the person or issue
- have difficulty acknowledging their anger
- use facial expressions that don't match how they feel – i.e., smiling when angry
- use sarcasm
- deny there is a problem
- appear cooperative while purposely doing things to annoy and disrupt
- use subtle sabotage to get even

The impact of a pattern of passive-aggressive communication is that these individuals:
- become alienated from those around them
- remain stuck in a position of powerlessness (like POWs)
- discharge resentment while real issues are never addressed so they can't mature

The passive-aggressive communicator will say, believe, or behave like:

- “I’m weak and resentful, so I sabotage, frustrate, and disrupt.”
- “I’m powerless to deal with you head on so I must use guerilla warfare.”
- “I will appear cooperative but I’m not.”

4. ASSERTIVE COMMUNICATION is a style in which individuals clearly state their opinions and feelings, and firmly advocate for their rights and needs without violating the rights of others. Assertive communication is born of high self-esteem. These individuals value themselves, their time, and their emotional, spiritual, and physical needs and are strong advocates for themselves while being very respectful of the rights of others.

Assertive communicators will:
- state needs and wants clearly, appropriately, and respectfully
- express feelings clearly, appropriately, and respectfully
- use “I” statements
- communicate respect for others
- listen well without interrupting
- feel in control of self
- have good eye contact
-speak in a calm and clear tone of voice
-have a relaxed body posture
-feel connected to others
-feel competent and in control
- not allow others to abuse or manipulate them
- stand up for their rights

The impact of a pattern of assertive communication is that these individuals:
- feel connected to others
- feel in control of their lives
- are able to mature because they address issues and problems as they arise
- create a respectful environment for others to grow and mature

The assertive communicator will say, believe, or behave in a way that says:
- “We are equally entitled to express ourselves respectfully to one another.”
- - “I am confident about who I am.”
  - “I realize I have choices in my life and I consider my options.”
  - “I speak clearly, honestly, and to the point.”
  - “I can’t control others but I can control myself.”
  - “I place a high priority on having my rights respected.”
  - “I am responsible for getting my needs met in a respectful manner.”
  - “I respect the rights of others.”
  - “Nobody owes me anything unless they’ve agreed to give it to me.”
  - “I’m 100% responsible for my own happiness.”

Assertiveness allows us to take care of ourselves, and is fundamental for good mental health and healthy relationships. For a related topic,

Poor Communication
Poor communication often creates tension and bad feelings within relationships.

Case Study
Richard is feeling angry. He is due to go for his driver's licence next week, and for the past month his dad has been promising to take him out driving, but it never seemed to eventuate. Tom feels frustrated because he needs the practice before he goes for the test.
On Thursday Richard came home from school and asked his dad if they could go for a drive. His dad said he couldn't because he had some work to do.
Well, Richard just saw red and exploded: "You don't give a damn about me. You are such a liar! You never do what you say you're going to do..."
In return his dad got all fired up, called him a 'spoilt brat' and said that he can't think about anything but himself.
This situation is a good example of how poor communication can lead to conflict and bad feelings.
Let's have a look at some of the errors that led to this angry outburst.
What went wrong? The case of Richard versus his dad

Counselling and Coaching

Coaching and Counseling for Improved Performance. Get to understand;

- The steps involved in coaching and counseling
- Benefits of coaching and counseling from both an employee's and manager's perspective
- Coaching and counseling techniques for specific situations

P**erformance coaching**: managers, leaders, and coaches today are faced with many different types of people to manage with varying opportunities for development. In order to see consistent performance improvement or employee development, a manger must be able to determine if the situation calls for coaching or counseling to improve upon the behaviors. The situation you are faced with depends on two factors: the employee's motivation and the type of behavior.

Coaching
When the word coach is used, many of us get a visual of a sports coach leading a team to improve and win the game. This is not unlike how the term is used in the business world. A manager becomes a coach when they not only lead their team but provide an environment that supports constant learning, development, and performance improvement. A coach is interested in the performance of their business and understands that to continue to achieve great results, the development of his/her employees is key.

While a coach is always striving to obtain consistent performance improvement from each employee on their team, there are situations where coaching the right behaviors is not the right approach. Remember that, not all employees are equally skilled or equally motivated. For those employees that have a motivation or will opportunity a different approach is needed. Because these employees are making a choice not to perform within expectations, our approach also needs to be adjusted to target the behavior that is being seen. This situation is when a manager needs to change their approach from one of a coach to one of a counselor.

Counseling
What do we mean by counselor? While a coach strives to provide tools and resources to help motivated employees to improve upon their skills and achieve a performance improvement, when a manager must provide counseling there isn't a skill issue but a will issue. Counseling an employee reflects that the employee is making a choice not to perform or to meet the set expectations and is a

more directive conversation in regards to the immediate need for a course correction. In this performance coaching discussions the manager will not be able to provide resources for the employee to focus on performance improvement but will outline the issue and the expectation of immediate behavior change.

There fore the first step in any effort to improve employee performance is counseling or coaching. (Though we primarily use the word "counseling" in this context, as the word "coaching," has become, in recent use, a much more specific type of counseling.) Counseling or work coaching is part of the day-to-day interaction between a supervisor and an individual who works in his or her work area, or a Human Resources professional and line organization staff members. Counseling often provides positive feedback about employee contributions. At the same time, regular counseling brings performance issues to an employee's attention when they are small, and assists the employee to correct them.

The goal of performance coaching is not to make the employee feel bad, or to show how much the HR professional or supervisor knows. The goal of counseling is to work with the employee to solve performance problems and improve the work of the employee, the team, and the department. There are six main steps in effective and supportive counseling or work coaching.

- Show confidence in the employee's ability and willingness to solve the problem. Ask him or her for help in solving the problem.
- Describe the performance problem. Focus on the problem or behavior that needs improvement, not the person. Ask for the employee's view of the situation.
- Determine if issues exist that limit the employee's ability to perform the task or accomplish the objective. Four common barriers are time, training, tools, and temperament. Determine how to remove these barriers and add these actions to the overall plan.
- Discuss potential solutions to the problem or improvement actions to take. Ask the employee for ideas on how to correct the problem, or prevent it from happening again. Offer your suggestions.
- Agree on a written action plan that lists what the employee, the supervisor, and possibly, the HR professional, will do to correct the problem or improve the situation.
- Set a date and time for follow-up. Determine if a critical feedback path is needed, so the supervisor knows how the employee is progressing on the plan. Offer positive encouragement and your confidence in the employee's competence to make the needed improvements.

Real Life Coaching Experiences

Let's discuss a couple of scenarios to determine if we can identify the best approach: coaching or counseling.

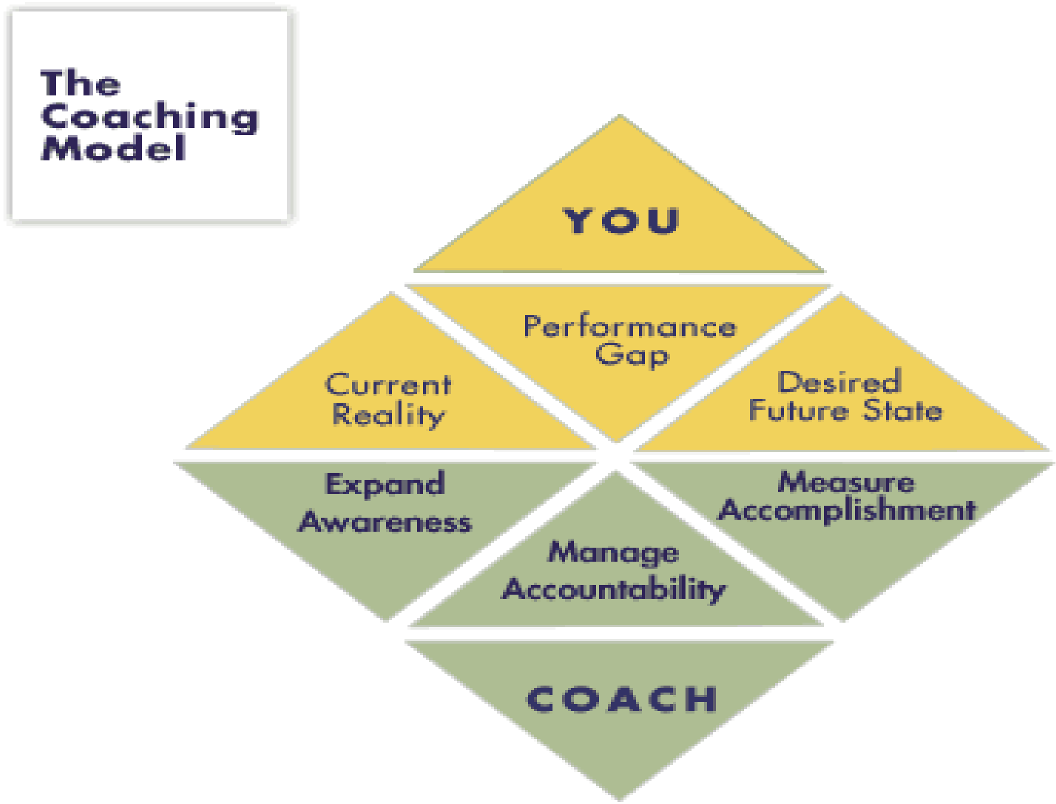
Our first scenario involves Kelley, a retail store manager that recently took over a new store. The previous manager was well liked and she knew she might have challenges instituting the much needed changes she was brought in to accomplish. One employee in her store she immediately realized had some opportunities she would have to address through performance coaching. This particular employee, Jeff, had been at the store for a couple of years in an assistant manager role. He had hoped he would step into the previous manager's role with their departure. Shortly after Kelley became the new store manager, Jeff's attitude and approach with his work had drastically changed. While previously his reviews reflected a positive attitude with a strong ability to foster a team environment and a willingness to put in the extra effort to accomplish difficult goals, Jeff's behavior had changed. He was coming in late, addressing other employees and customers in abrupt tones, and missing key deadlines.

In a second scenario, Jason has recently formed a new department from newly hired employees and existing employees that were previously a part of a different department. Jason sets out to evaluate the skills of the inherited employees and notices that while most of the group shows excitement for their work, one employee, Susan, does not appear to take her work seriously. She displays this behavior by consistently under-delivering, missing deadlines, and presenting a lackadaisical attitude to peers, customers, and to Jason. Jason has had numerous performance coaching discussions with Susan around delivering on time and communicating any constraints to her deadlines but has seen little performance improvement. Susan continues to miss deadlines and does not communicate with Jason or the customers she supports.

Take a moment to reflect on these scenarios. Would you use a performance coaching or counseling method if you were in Kelley's shoes to achieve a performance improvement? What about if you were in Jason's shoes? Let's take a look at each of these scenarios and see if we can determine the most appropriate approach to achieve the desired performance improvement.

Kelley could make the assumption that Jeff is upset that she has taken the job he expected to receive. This might be the first assumption we would all make. Assumptions, however, have a way of sometimes being wrong and could mislead our approach. Rather than acting on this assumption, Kelley takes a step back and leverages her relationship with a mentor to discuss the best approach to use with Jeff so she can achieve a performance improvement. Often times managers are too close to performance coaching situations and using a mentoring relationship with someone in the organization that possess greater experience can be helpful to gain perspective. Working with her mentor, Kelley decides to use the IGROW Model to determine if she is on the right track or if there might be another issue at play. By doing so, Kelley learns that Jeff is going through a rough time at home. He understands that his performance has slipped with his focus on home matters. While you might be thinking this is a scenario for counseling, where there are no tools or resources you can utilize to assist Jeff in changing his behavior, if you think about the situation and Jeff's past performance you may have second thoughts on how you can achieve a performance improvement. Jeff was previously a very strong performer. He has shown the desire to lead and to perform but due to a personal issue, he has lost focus in other aspects of his life, including work. This is a situation where during the performance coaching session, Kelley was able to use some tools many companies, including her own, provide to their employees that include personal counseling and resources via the Human Resources department. Kelley and Jeff established a plan to utilize these resources and for Jeff to check in with Kelley if he feels the loss of focus creeping back. Since their conversation, Jeff's performance has steadily increased and the morale of Kelley's entire team has seen improvement. This is an example of successful performance coaching.

In our second scenario, Jason had already used some of the tools available to him, such as the IGROW Model, but had not been able to identify a root cause or to realize a change in behavior. Susan had a will issue where she was making a choice not to deliver on time or to communicate her progress or constraints. For this reason, Jason's approach needs to be much different than Kelley's. Jason met with Susan regarding her behavior and their previous discussions around her performance. Utilizing a counseling approach, Jason reinforced the earlier communicated expectations and communicated a direct need for an immediate behavior change and performance improvement. In this situation, a progressive performance plan may be utilized. This plan is a multi-step process to allow Jason and Susan to acknowledge the current performance issue and to make immediate change. If this change is not immediate and consistent, the plan escalates until the behavior is changed or until Jason is satisfied that Susan will be unable to change her behaviors. In these situations an employee separation may be necessary.



The Coaching Model helps close the gap between your current situation and your desired future by:

- Developing strategies for gaining skills and knowledge required for professional development and advancement.
- Regularly setting clear expectations for new behaviors and related to the attributes and skills you wish to attain.
- Broadening your focus to include attention to your career path while maintaining your current high level of performance.
- Actively supporting and encouraging targeted goals for new behaviors and results.

MODULE 4: FUNDAMENTALS OF COMPENSATION

Applying a Compensation Model/ Plan

Align your organization's compensation plan to its strategic goals. Use Total Compensation to conduct internal analyses and identify direct and indirect methods of compensation. Benefits and compensation packages that are both attractive to employees and cost-effective to the organization are important factors in retaining valued employees. Managers need to learn how to address legal and organizational issues related to retirement plans, health plans, and other benefit packages

Compensation is one of the best ways to attract, retain and motivate your employees so that they can achieve your business goals and yet many companies are outsourcing compensation and benefits. Why would an organization outsource an important component of their business? Here are the primary reasons businesses are outsourcing compensation:

1. Compensation design and management are not core competencies of the human resource department, though it is deemed a necessary part of business.

2. Compensation design outsourcing saves the business money.

3. Outsourcing compensation design and planning means that someone will be actively working on compensation rather than taxing the limited resources of the in-house human resources staff.

Outsourcing compensation design and planning is one way that organizations are trying to stay competitive in the marketplace. Better compensation is the most cited reason for an employee leaving an employer. A well-designed compensation plan will allow you to retain key executives and salespeople/ staff to meet your business goals.

Increasingly, organizations are using variable pay plans to reward employees for the results that they achieve. Current discussion of variable pay focuses on variable pay plan design mechanics, with insufficient attention given to contextual variables that may affect variable pay plan design. The framework for examining the contextual determinants of variable pay plan design, Components of the framework include characteristics of the environment, characteristics of the organization, and the organization's pay strategies. Propositions for future research are offered

Compensation Plans; Internal and Legal Considerations

A comprehensive compensation plan is critical to attracting, recruiting, and retaining qualified employees. An effective plan will help ensure internal and external pay equity issues and assist your organization in meeting strategic objectives.

Designing and administering a compensation plan can be difficult and time consuming. Employers' experienced staff can guide you through the process or prepare all or part of your plan for you and assist with the implementation and administration.

- **Job Descriptions:** The first and most critical step in designing a compensation plan. Job descriptions must be accurate in order to correctly evaluate each job, obtain accurate market pricing, determine job worth, and develop pay ranges. Job descriptions are also a tool for recruitment, selection, legal and regulatory compliance, training and developing employees, and communicating performance criteria.

- **Job Evaluation:** The organization needs a systematic process for determining and comparing the relative value of jobs inside your organization. Each job is evaluated to determine the degree of skill, effort, responsibility, and working conditions in relation to other positions within the organization. This method establishes internal equity in your pay administration program.

- **Market Pricing:** Correct market pricing ensures that your organization remains competitive during the hiring process and aids in employee retention issues. Market pricing data on Employers from the given surveys conducted in various regional and national salary and benefit surveys.

- **Salary Structure:** The salary structure for your compensation plan is built from your job evaluation and market pricing. You need to develop a salary range for each position in you organization based on the market value of the job. These ranges are an effective means to enable your management team to offer equitable wages and maintain control of your compensation plan.

- **Administration and Communication:** Proper communication of your compensation plan to employees makes them feel valued; builds trust; reinforces the business philosophy, culture and values; and may improve business results.

External and Structural Considerations in the compensation
Use market analysis to implement changes to a compensation plan. Assess external factors and create a dynamic model to administer compensation.
Use market analysis to implement changes to a compensation plan. Assess external factors and create a dynamic model to administer compensation.
It is necessary to understand the application for assessing and implementing a compensation model by considering external factors. The process of analyzing market data is explored. Developing recommendations and implementing changes to an organization's compensation administration policies is also important.

The compensation model in Business Talk is a mechanism for addressing an extensive range of business process scenarios. It is used in situations where some conditions arises that invalidates the outcomes of previously completed units of work associated with the same business activity. In these scenarios, it is generally necessary to revisit the completed units of work, inspecting the state of the system as it existed at the completion of each of those stages, and taking appropriate actions to undo the work, undertake appropriate compensatory actions or, at the very least, maintain an audit log and/or provide notifications.

A good example of such a scenario is where, in a retail ordering/delivery process, a customer cancels an order that has already been partially met, but not yet delivered. Cancellations tend to be indeterminate with regards to when they occur. The goods may have been picked. They may have been dispatched and may therefore be en route to the customer premises. Invoices may already have been created and sent, etc. The ordering/delivery process must contain mechanisms for handling cancellation robustly, wherever it occurs within that process.

It provides a flexible means for performing back-tracking over discrete units of work that have been completed, whilst automatically ignoring units of work that remain incomplete. It allows compensatory logic to access the process state as it existed at the point a unit of work was deemed complete. In conjunction with exception handling and transaction management, it allows orchestration designers to define paths through the business process that will be invoked when compensatory actions must be performed. It does not address all issues and scenarios, however, and should be considered as just one part of the toolset required to implement failure handling and recovery logic.

MODULE 5: SELECTION AND STAFFING:

Identify staffing needs and search effectively for the best candidates. Create a long-term, systematic approach to hiring. Log In or Sign Up
Sign up for a Free Account
It's quick and easy.
Why Sign up?
A Wealth of Information at Your Fingertips
Store and Bookmark Documents
Share Documents Privately
Reach Millions of People

The Selection Process
This is helpful to understand the differences between Selection process and Recruitment function in Human Resource Management. This module gives details on Selection process as far as HRM is concerned. In organizations selection committees are made and assigned with a responsibility for

carrying out the selection process. Its main responsibility is to assess the relative claims of applicants against the selection criteria and ensure that the best available applicant is recommended for appointment. In order to achieve the Selection Committee should:

- Review the search and screening process and search further if it is considered to be necessary; consider the Faculty Screening Committee's recommendations, and shortlist the candidates to be interviewed.
- Arrange (through the secretary) for each short listed candidate to give a presentation(s) to the Faculty. The Faculty's evaluation of the presentation(s) should be represented to the Selection Committee through its nominees on the committee.
- Conduct the formal interviews and review referees' reports.
- Recommend the candidate most suitable for appointment.

It is necessary to understand the job analysis. An essential component of any HR unit, no matter the size, is the job analysis, which is completed to determine activities, skills, and knowledge required of an employee for a specific job. Job analyses are "performed on three occasions: (1) when the organization is first started, (2) when a new job is created, and (3) when a job is changed as a result of new methods, new procedures, or new technology" (Cherrington, 1995).

Jobs can be analyzed through the use of questionnaires, observations, interviews, employee recordings, or a combination of any of these methods. Two important tools used in defining the job are (1) a job description, which identifies the job, provides a listing of responsibilities and duties unique to the job, gives performance standards, and specifies necessary machines and equipment; and (2) the job specification, which states the minimum amount of education and experience needed for performing the job (Mondy and Noel, 1996).Share This Document Copy and Paste URL

The Staffing Process

Retain your valued employees, and manage departures and workforce reductions. Systematically assess the effectiveness of selection and staffing in your organization. Staffing is the process through which the manager determines what kinds of workers are needed, obtains the most qualified people, places them in their jobs, and trains them.

The following are the three essential functions of staffing

- Selection of people with the appropriate skills, attitudes, and potential, which will improve organizational performance.
- Orientation of staff to ensure that all staff members know what their roles and duties are and how to perform these duties. This prevents wasted time and costly mistakes
- Staff development through training and daily interactions to ensure that staff will have the knowledge, attitudes, and skills to do their jobs well. This complements and reinforces orientation, builds morale, reduces staff turnover, and creates a work environment where all employees can work productively and strive for improvement.

Eligibility for ‘Matching’

Matching is the process whereby existing staff are placed in roles within the new structure without a formal selection process because the role has remained largely unchanged or has only slightly changed and the knowledge, skills and attributes required for the position vary minimally (or not at all) to their previous role and there are no other potentially displaced staff who possess the same capability mix.
All staff employed in continuing or fixed-term roles within the work area are eligible to be matched where the capability mix, the number of staff involved and the number of roles available at a particular level, permit.

Consideration for lower level roles
At each stage all staff within the work area will be able to apply for the advertised jobs.

Promotions and Appointments
At each stage all staff within the work area will be able to apply for the advertised jobs (including seconded staff). Therefore, staff may apply for promotion if a role is advertised (internally within the staffing process at a minimum).

Potential Displaced Staff
When a continuing staff member is neither matched nor successful in competing for a position on merit, they are then likely to become excess to requirements if there is no other suitable employment within the organization and possibly subject to the organisation's redundancy. The staff member will be advised and provided with the opportunity to respond and make recommendation to avoid the redundancy and/or mitigate the effects of the redundancy.

Every effort should be made to identify other continuing work options within the work area (Division) or other redeployment options within the organisation, before the staff
member is formally declared 'excess to requirements'. If there are no redeployment options, the staff member will then be subject to the redundancy.

Redundancy/ Redeployment /Voluntary Early Separation
Individual staff members occupying positions identified as 'excess to requirements' need to be informed of their options and assisted to their new futures. Every effort will be made to minimise individual staff impacts of such changes through natural attrition, redeployment and voluntary early separation. However, the University may also need to make staff involuntarily redundant in accordance with the Redundancy procedure.

MODULE 6: PERFORMANCE MANAGEMENT SYSTEMS AND APPRAISAL

Simply, performance management includes activities to ensure that goals are consistently being met in an effective and efficient manner. Performance management can focus on performance of the organization, a department, processes to build a product or service, employees, etc. This gives you some sense of the overall activities involved in employee performance management. You need to understand the, basics concepts in performance management, organization performance management and group performance management. Drive productivity and growth through performance management
Employee Performance Management Process
Establishing Performance Goals
Performance Plans
Observation and Feedback
Evaluating Performance
Rewarding Performance
Recognizing Performance Problems ("Performance Gaps")
Performance Improvement / Development Plans
Firing Employees.

Performance Appraisal (PA) is the process of assessing how well the employees are progressing on the job front. The process monitors, measures, and evaluates performance of the employees at their jobs. An efficient PA system enables quick identification of process loopholes, if any, and helps in evolving

precise benchmarks for employee evaluation. And is a structured formal interaction between a subordinate and supervisor, that usually takes the form of a periodic interview (annual or semi-annual), in which the work performance of the subordinate is examined and discussed, with a view to identifying weaknesses and strengths as well as opportunities for improvement and skills development
Performance appraisals are essential for the effective management and evaluation of staff. Appraisals help develop individuals, improve organizational performance, and feed into business planning. Formal performance appraisals are generally conducted annually for all staff in the organization. Each staff member is appraised by their line manager. Directors are appraised by the CEO, who is appraised by the chairman or company owners, depending on the size and structure of the organization.

Annual performance appraisals enable management and monitoring of standards, agreeing expectations and objectives, and delegation of responsibilities and tasks. Staff performance appraisals also establish individual training needs and enable organizational training needs analysis(TNA) and planning.

Performance appraisals also typically feed into organizational annual pay and grading reviews, which commonly also coincides with the business planning for the next trading year.
Performance appraisals generally review each individual's performance against objectives and standards for the trading year, agreed at the previous appraisal meeting.
Performance appraisals are also essential for career and succession planning - for individuals, crucial jobs, and for the organization as a whole.
Performance appraisals are important for staff motivation, attitude and behaviour development, communicating and aligning individual and organizational aims, and fostering positive relationships between management and staff.
Performance appraisals provide a formal, recorded, regular review of an individual's performance, and a plan for future development.
Job performance appraisals - in whatever form they take - are therefore vital for managing the performance of people and organizations.

Managers and appraisees commonly dislike appraisals and try to avoid them. To these people the appraisal is daunting and time-consuming. The process is seen as a difficult administrative chore and emotionally challenging. The annual appraisal is maybe the only time since last year that the two people have sat down together for a meaningful one-to-one discussion. No wonder then that appraisals are stressful - which then defeats the whole purpose.
In many organizations - but not all - appraisal results are used, either directly or indirectly, to help determine reward outcomes. That is, the appraisal results are used to identify the better performing employees who should get the majority of available merit pay increases, bonuses, and promotions.

By the same token, appraisal results are used to identify the poorer performers who may require some form of counseling, or in extreme cases, demotion, dismissal or decreases in pay. (Organizations need to be aware of laws in their country that might restrict their capacity to dismiss employees or decrease pay.)

Whether this is an appropriate use of performance appraisal - the assignment and justification of rewards and penalties - is a very uncertain and contentious matter.

The human inclination to judge can create serious motivational, ethical and legal problems in the workplace. Without a structured appraisal system, there is little chance of ensuring that the judgements made will be lawful, fair, defensible and accurate.

Performance appraisal systems began as simple methods of income justification. That is, appraisal was used to decide whether or not the salary or wage of an individual employee was justified. The process was firmly linked to material outcomes. If an employee's performance was found to be less than ideal, a cut in pay would follow. On the other hand, if their performance was better than the supervisor expected, a pay rise was in order.

Managers cite performance appraisals or annual reviews as one of their most disliked tasks. Performance management eliminates the performance appraisal or annual review and evaluation as the focus and concentrates instead on the entire spectrum of performance management and improvement strategies. These include employee performance improvement, performance development, training, cross-training, challenging assignments, 360 degree feedback and regular performance feedback.
Goal Setting, Performance Measurement, High Performance Employees Performance Appraisals: Manage Daily Performance, Disciplinary Action Performance Development , Technology, Success in Work @ 360 Feedback ,Employee Job Termination

Steps in a Performance Review;

- Do Background work for the Performance Review
- Clarify job description and responsibilities
- Clarify employee development interests and needs
- list specific development areas for concentration
- Review performance objectives and performance standards
- Review progress toward objectives through ongoing feedback and periodic discussions
- Decide on Purpose(s) Typically the purposes include
- Giving employees answers to:
    - what am I expected to do
    - how well am I doing
    - what are my strengths and weaknesses
    - how can I do a better job how can I contribute more

Overview of performance appraisal
General

- ideally PA allows mgt to specify what employee must do; combines feedback and goal setting
- everyone involved needs to recognize that performance appraisal involves human judgment and information processing; can never be totally objective or infallible
- system should aim to be easy to operate, easy to explain, easy to maintain, easy to administer
- system should be job related, relevant, sensitive, reliable, acceptable, practical, open, fair, useful
- rate should participate in the development
- need to take legal issues into account

Why PA often fails

- managers often resist (passively or actively)
- may have limited contact with subordinate; may be poor at giving feedback
- subordinates poor at receiving feedback
- managers often view it as wasted paperwork, especially if nothing comes of their efforts
- interfere with their "coaching" function they prefer
- managers fear the emotions that can be unleashed; may fear not being able to defend ratings

To be very legally defensible a system would have these components:

- employee participation in establishing perf. standards
- standards based on critical elements of job; clearly recorded in writing
- employee advised of critical requirements before the appraisal
- system should not be based on interpersonal comparisons (eg. curve)
- PA done in writing at least annually
- results tied to personnel decisions
- employees allowed to respond to charge orally and in writing
- appraisers must be provided training

PA system evaluated and refined as necessary
Keys to an effective performance appraisal program Design Factors

- provide for rater and ratee participation in the design process
- aim for simplicity, fairness, objectivity, openness, usefulness
- aim to be inclusive of all behaviors and results that should be performed
- questions to be addressed in designing a system:
    - -what is purpose -what are supervisors' attitudes toward PA
    - -what are appropriate job criteria -who should conduct the appraisals; when should they occur;
    - -how often
- -what format instruments are appropriate -what type of performance records should be kept

Company Reward System

- accurately and thorougly assessing subordinate performance
- for completing the forms conscientiously
- for communicating their judgments to subordinates

Evaluator's Skills

- with subordinates set specific goals; identify paths to reach goals, analyze job, problems
- continuously monitor and improve subordinate performance
- be trained in conducting effective PA; trained in setting objectives, giving feedback, conducting problem solving interviews
- be aware of potential for bias and counteract tendencies-stereotype, halo, central tendency, etc.
- need to have extensive information about rate.
- need to effectively observe, recall, assimilate, weigh

The Forms need to be

- job related, as simple as possible, easy to administer, valid, reliable
- individuals need to be able to influence measures

Eliminating the sources of bias Organizational Support must support and reinforce time spent on these activities; organization from top to bottom must show PA is taken seriously must tie results of appraisals to decisions such as promotion, salary Designing Effective Performance Appraisal Systems Objectives of Performance Appraisal:

- evaluation goals --
- Provide feedback to subordinates on where they stand.
- Develop valid data for pay and promotion decisions and provide a means for communicating these decisions.
- Assist the manager in making discharge and retention decisions and provide a means of warning subordinates about unsatisfactory performance.
- coaching and development goals --

- Counsel and coach subordinates so they will improve their performance and develop future potential.
- Develop commitment through discussion with subordinates of career opportunities and career planning.
- Motivate subordinates through recognition and support.
- Strengthen supervisor-subordinate relations.
- Diagnose individual and organizational problems.

Commonly Used Techniques of Performance Appraisal:

- Graphic Rating Scales, in which employees are rated on a scale, usually from 1 to 10, on traits and/or behavior such as intelligence, neatness, and quantity of work accomplished.
- Management by objectives, wherein objectives are set, plans determined, performance reviewed, and rewards given.
- Forced choice-requires the evaluator to choose among descriptions of employee behavior-scored according to a key.
- Simple ranking, wherein raters simply rank their subordinates from best to worst on their perceived performances.
- Critical incidents, in which raters identify critical positive and negative employee performance (NOTE: Behaviorally anchored rating scales can be derived from these.)
- Essay, in which performances are described in essays.

Note: Because each technique may be better for certain situations than others, students might be asked to assess the appropriateness of each for different levels of managers.

The first part of a formal document (appraisal form) like this needs to contain essential identifying data:

- organization, division and department
- year or period covered
- name
- position
- location/site/based at/contact details (e.g., email)
- months in present position
- length of service

The inclusion of age and date-of-birth sections on appraisal forms is not recommended (along with all other documentation used in assessing people). See the Age Diversity information for more details.
Part A (to be completed by the appraisee before the interview and sent to the appraiser x days before the appraisal)

A1 State your understanding of your duties and responsibilities.

A2 Discussion points: (not exhaustive or definitive - Has the past year been good/bad/satisfactory or otherwise for you, and why?

1. What do you consider to be your most important achievements of the past year?
2. What do you like and dislike about working for this organization?
3. What elements of your job do you find most difficult?
4. What elements of your job interest you the most, and least?
5. What do you consider to be your most important tasks in the next year?
6. What action could be taken to improve your performance in your current position by you, and your boss?
7. What kind of work or job would you like to be doing in one/two/five years time?

8. What sort of training/experience would benefit you in the next year? Broaden this question to include 'whole-person development' beyond job skills - for example: What do you have a personal passion for that we might help you to pursue? (It's a fact that when person develops interests, talents and experiences that they truly love and enjoy - even if the area seems completely unrelated to work - then the person becomes more valuable, mature, and motivated at work too, because they have grown as a person. Within reason, employers can and should help people to develop in any way they wish, and often even the most unconnected development or experiences hold much valuable learning that are directly transferable and usable at work - all it takes is a bit of imagination.)

A3 List the objectives you set out to achieve in the past 12 months (or the period covered by this appraisal) with the measures or standards agreed - against each comment on achievement or otherwise, with reasons where appropriate. Score the performance against each objective (1-3 = poor, 4-6 = satisfactory, 7-9 = good, 10 = excellent):

A4 Score your own capability or knowledge in the following areas in terms of your current role requirements (1-3 = poor, 4-6 = satisfactory, 7-9 = good, 10 = excellent). If appropriate bring evidence with you to the appraisal to support your assessment. (This list is not exhaustive or definitive - the list should reflect the requirements of the job and the career path). Other roles in other industries, for example technical, engineering, healthcare, legal, finance, leisure, transport, construction, etc, will require different skill sets. These are examples of a typical commercial or management skill set.

1. commercial judgment
2. product/technical knowledge
3. time management
4. planning, budgeting and forecasting
5. reporting and administration
6. communication skills
7. delegation skills
8. IT/equipment/machinery skills
9. meeting expectations, deadlines and commitments
10. creativity
11. problem-solving and decision-making
12. team-working and developing/helping others
13. energy, determination and work-rate
14. steadiness under pressure
15. leadership and integrity
16. adaptability, flexibility, and mobility
17. personal appearance and image
18. appreciation and application of social responsibility, sustainability, and ethical considerations

A5 In light of your current capabilities, your performance against past objectives, and your future personal growth and/or job aspirations, what activities and tasks would you like to focus on during the next year. Include in this any 'whole-person non-work-related development that the person feels would help them to grow and become more fulfilled as a person.

Part B (to be completed during the appraisal by the appraiser - where appropriate and safe to do so, certain items can completed by the appraiser before the appraisal, and then discussed and validated or amended in discussion with the appraisee during the appraisal.)

Name of appraiser:

Position:

Time managing appraisee:

B1 Describe the purpose of the appraisee's job. Discuss and compare with self-appraisal entry in A1. Clarify job purpose and priorities where necessary.

B2 Review discussion points in A2, and note the points of interest and action.

B3 List the objectives that the appraisee set out to achieve in the past 12 months (or the period covered by this appraisal - typically these objectives will have been carried forward from the previous appraisal record) with the measures or standards agreed - against each comment on achievement or otherwise, with reasons where appropriate. Score the performance against each objective (1-3 = poor, 4-6 = satisfactory, 7-9 = good, 10 = excellent). Compare with the self-appraisal in B3. Discuss and note points of interest and action, particularly training and development needs and wishes.

B4 Score the appraisee's capability or knowledge in the following areas in terms of their current (and if known, next) role requirements (1-3 = poor, 4-6 = satisfactory, 7-9 = good, 10 = excellent). NB This competencies list is not exhaustive or definitive - the list should reflect the requirements of the job and the career path... Other roles in other industries, for example technical, engineering, healthcare, legal, finance, leisure, transport, construction, etc, will require different skill sets. These are examples of a typical commercial or management skill set. Compare with the self-appraisal in B4. Discuss and note points of interest and action, particularly training and development needs and wishes.

1. commercial judgement
2. product/technical knowledge
3. time management
4. planning, budgeting and forecasting
5. reporting and administration
6. communication skills
7. delegation skills
8. IT/equipment/machinery skills
9. meeting expectations, deadlines and commitments
10. creativity
11. problem-solving and decision-making
12. team-working and developing/helping others
13. energy, determination and work-rate
14. steadiness under pressure
15. leadership and integrity
16. adaptability, flexibility, and mobility
17. personal appearance and image
18. appreciation and application of social responsibility, sustainability, and ethical considerations

B5 Discuss and agree the appraisee's career direction options and wishes, and readiness for promotion, and compare with and discuss the self-appraisal entry in A5. Some people do not wish for promotion, but everyone is capable of, and generally benefits from, personal development - development and growth should be available to all, not just the ambitious. Again consider 'whole-person' development outside of obvious work-related training.

B6 Discuss and agree the skills, capabilities and experience required for competence in current role, and if appropriate for readiness to progress to the next role or roles. It is usually helpful to refer to the skill-set or similar to that shown in A/B4, in order to accurately identify all development areas, whether for competence at current level or readiness to progress to next job level/type. Consider the connections between a person's natural talents, personal interests, passions, etc., to their work roles and their work aspirations. There are often huge overlaps between ' whole-person development' outcomes (which might not obviously relate to work) and the person's job. A person who becomes better at anything outside of their work almost always becomes better at their work too. The big difference of course is that people want to pursue their own personal passions and interests, whereas many are not so keen to attend job skills training courses that to them are far less stimulating. Seek to help the person to grow in whatever direction they want, not just to identify relevant work skills training.

B7 Discuss and agree the specific objectives that will enable the appraisee to reach competence and to meet required performance in current job. These must adhere to the SMARTER rules - specific, measurable, agreed, realistic, time-bound, enjoyable, recorded.

B8 Discuss and agree the specific objectives that will enable the appraisee to move towards, or achieve readiness for, the next job level/type, or if no particular next role is identified or sought, to achieve the desired personal growth or experience. Must also adhere to SMARTER rules.

B9 Discuss and agree as far as is possible (given budgetary, availability and authorisation considerations) the training and development support to be given to help the appraisee meet the agree objectives.

NB Appraisers should note that personal development and support must be offered to all employees, not just the ambitious. Job-skills training isn't restricted to sending someone on an external course - it includes internal courses, coaching, mentoring (mentoring someone else and well as being mentored), secondment to another role (eg, deputising for someone while they are away on holiday), shadowing, distance-learning, reading books, watching videos, attending meetings and workshops, workbooks, manuals and guides, researching, giving presentations; anything relevant and helpful that will help the person develop towards the standards and aims, and as a person. Training and development should not be restricted to job-skills. Discuss ways to help the person achieve whatever personal development and experiences that they feel passionate about, even if initially there seems no relationship or benefit to the work and the job because almost certainly there will be: often in the skills themselves, and if not, then almost always in the increased wisdom and maturity that comes from any sort of personal growth. Avoid giving commitment to an appraisee for any training expenditure before suitable approval, permission or availability has been confirmed - discuss likely training and development requirements with the relevant authority before the appraisal to check on policies and options and approvals. Raising false hopes is not helpful to the appraisal process.

B10 Any other issues (it's important to offer the opportunity to the appraisee to raise any other points, even if they need to be discussed at another meeting, outside of the appraisal process, which would generally be the case.)

Signed and dated appraiser and appraisee:
(Finally it's advisable to show instructions as to the distribution of copies of the completed form, a reminder of its confidential nature, and a statement as to the individual's rights under the data protection laws applicable.)

Tools for appraisals, assessments and individual/group training needs analysis
The following are few examples of tools and materials that relate closely to the appraisals process, and particularly for identifying and prioritising individual and collective group training needs, all of which is commonly referred to Training Needs Analysis, or TNA.

Modern integrated computerized HR/training management systems will offer more sophisticated functionality than these simple tools, however these templates and training needs analysis (TNA) spreadsheets can be useful for basic requirements, and also for specifying and evolving more modern complex learning and development management systems.

Bear in mind that these assessments and TNA tools are concerned principally with conventional work skills and attributes, and how to identify and prioritize group development needs. You should consider separately how best develop unique personal potential in every person, since a person's unique personal potential is usually quite different to the skills implied or required by their job role.
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