

# INSTITUTIONAL TRAINING

## Module 1.11: STAFF MANAGEMENT



## ACKNOWLEDGEMENTS

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## GENERAL TRAINING TIPS

### Preparation:

- Prepare each session in advance and ensure all necessary materials and visual aids are available (use visual aids wherever possible to enhance your training).
- Be aware of local customs – remember to open and close the training day with a prayer and give due recognition to any traditional leaders present.
- Provide translation services where necessary (this will need to be arranged in advance – it may not be appropriate to ask a participant to translate).

### General training and presentation guidelines:

- Use good time management to ensure every aspect of your training is completed – but take into account the possible need for translation and be prepared to slow down if necessary to ensure that all participants understand.
- Maintain good eye contact with participants.
- Speak clearly.
- Keep your training language simple and appropriate to your audience.
- Bridge one topic to the next.
- Provide clear instructions for activities and check to see if your instructions are understood.
- Where appropriate, summarise each component of the module.
- Avoid reading from this trainer's manual.

### Visual presentation:

- Write clearly and boldly if using flipchart sheets.
- Keep your visual aids clear – avoid blocking participants' view of visual aids.

### Involving the participants:

- Encourage questions and participation.
- Ask questions to get participants thinking about the topic and key issues.
- Keep the group focused on the task, but take breaks if participants are tired and losing concentration – be aware of body language.
- Be patient and courteous with all participants.
- Talk to your participants and not to the flipchart.
- Acknowledge the comments and feedback from participants.



**NB:** Where we wish to indicate that text in this module refers to an activity that training participants are expected to undertake, we have employed this little icon.



## ABOUT MODULE 1.11: STAFF MANAGEMENT

<p><b>OBJECTIVES:</b> People who receive training in MODULE 1.11 will gain knowledge on:</p>	<ol style="list-style-type: none"> <li>1. Labour law</li> <li>2. Recruiting staff: job descriptions</li> <li>3. Recruiting staff: job advertising</li> <li>4. The recruitment and selection process</li> <li>5. Contracts of employment</li> <li>6. Performance management: staff appraisal</li> <li>7. Staff policies and procedures</li> <li>8. Conflict management: disciplinary procedures, grievance procedure</li> <li>9. Development of action plans to implement staff management policies, procedures and tools for the conservancy</li> </ol>
<p><b>COMPETENCIES:</b> People who receive training in MODULE 1.11 will be able to:</p>	<ol style="list-style-type: none"> <li>1. Show a detailed understanding of labour law and how it applies to their conservancy</li> <li>2. Explain the staff-related activities required by the conservancy</li> <li>3. Demonstrate an understanding of labour and staffing issues</li> <li>4. Develop staff policies and procedures for the conservancy</li> <li>5. Establish a plan to develop any contracts, job descriptions, policies etc., that are required but are currently not in existence</li> </ol>
<p><b>MODULE 1.11 is intended for:</b></p>	Conservancy staff, the Conservancy Manager and the Conservancy Committee
<p><b>Duration of MODULE 1.11:</b></p>	The training for this Module will usually last 4 days

**To train this MODULE 1.11 you will need to have (enough for everyone):**

	Check
Flipchart stand, sheets and different coloured marker pens ("kokies")	✓
Module 1.11 Handouts #1 – #18	
Prepared Flipchart Sheets #1 – #7 if you prefer to use them (#1 – #5 may be laminated for duplicate use)	
Paper, pencils, erasers and pens for participants	
Small lined index cards and Prestik	
A copy of the Participant's Manual	

<i>References/other resources:</i>	
A copy of the NACSO-CESP document, 'A Guide to the Labour Act'	
A copy of the <i>Labour Act No 11 of 2007</i>	
Copies of newspapers containing job vacancy advertisements	
A copy of an existing conservancy 'Staff Policy' document to show to participants plus a copy for you to refer to	



The training of this **MODULE 1.11** will follow generally this schedule:

TOPIC 1:	Labour law
TOPIC 2:	Staff recruitment: job descriptions
TOPIC 3:	Staff recruitment: job advertising
TOPIC 4:	The recruitment and selection process
TOPIC 5:	Contracts of employment
TOPIC 6:	Performance management: staff appraisal
TOPIC 7:	Staff policies and procedures
TOPIC 8:	Conflict management: disciplinary procedures; grievance procedure
TOPIC 9:	Development of action plans
SELF-ASSESSMENT:	Assessing participants' understanding of this Module (Handout #18)

NOTE TO TRAINERS/FACILITATORS ON TRAINING TOPICS 1, 6, and 8

The information in Topic 1 on labour law is very factual and, importantly, must be relayed correctly as it deals with legal matters. The content in Topic 8 similarly deals with the legal issues relating to disciplinary measures and the grievance procedure and therefore needs to be understood by participants in an unambiguous manner.

The trainer must therefore check that the participants understand the meaning of the terms and concepts used throughout Topic 1 and Topic 8. Some will be unfamiliar and/or may not have a direct translation in the participants' local language so take your time in explaining each issue in turn fully before you move on to the next.

As they cover a great deal of complex material, Topic 6 and Topic 8 have been divided into 'sessions', with amounts of time allocated to them. These time frames are a guide only, and trainers/facilitators might need to adapt them as they deliver the Module.



## KEYWORDS and ACRONYMS for this MODULE

<b>appeal</b>	An official meeting to hear an objection to a particular decision
<b>arbitration</b>	A legal technique for the resolution of disputes outside of a court
<b>CC</b>	Conservancy Committee
<b>compensation</b>	An amount of money paid to a person or organisation to pay for damage to property, or inconvenience caused
<b>compliance</b>	Ensuring a person or organisation follows the rules put in place by government law or an organisation
<b>conflict of interest</b>	When a person has a private or personal interest that can influence his/her objective exercise of duties in a different capacity (e.g., as a public official, an employee, or a professional)
<b>contract of employment</b>	The agreement between an employer and employee setting out the terms and conditions of their employment relationship
<b>CESP</b>	Community-based Natural Resource Management Enterprise Support Project
<b>DC&amp;P</b>	Disciplinary Code and Procedures
<b>fine levied</b>	An amount of money required to be paid by a person or organisation because they have not followed the law or rules
<b>grievance</b>	A complaint/feeling of injustice about something
<b>incapacity</b>	Inability to work because of illness or injury
<b>incompetence</b>	Inability to work to a good enough standard
<b>inquiry</b>	A formal meeting to hear evidence, decide whether it is true or not, and (if so) decide what action to take
<b>job description</b>	A document that explains what an employee is expected to do
<b>medical certificate</b>	A form signed by a doctor/consultant providing an official diagnosis of an illness/injury/pregnancy/date of birth
<b>misconduct</b>	Behaviour/actions not acceptable in the workplace
<b>NACSO</b>	Namibian Association of CBNRM Support Organisations
<b>offence</b>	Something that is against the conservancy rules/policies
<b>PAYE</b>	Pay-as-you-earn (method of income tax collection)
<b>personal review</b>	An evaluation of one's own work performance
<b>sanction</b>	A course of action taken if a staff member is found guilty of misconduct or poor performance
<b>severance pay</b>	An additional payment when a staff member leaves employment under particular circumstances
<b>staff appraisal</b>	An evaluation, done by a supervisor, reporting on the staff member's work performance
<b>staff policy</b>	A document that explains the rights and responsibilities of each employee and the conservancy
<b>unfair dismissal</b>	If a staff member's contract is terminated without just cause
<b>VAT</b>	Value added tax



## INTRODUCTION

**1** **LIST:** The **objectives** of Module 1.11 by writing them on a flipchart sheet. To save time you may prefer to have Flipchart Sheet #1 prepared in advance (or even laminate this one and others for duplicate use). Explain the objectives in detail.

**Objectives of this workshop: you will gain knowledge on –**

1. Labour law
2. Recruiting staff: job descriptions
3. Recruiting staff: job advertising
4. The recruitment and selection process
5. Contracts of employment
6. Performance management: staff appraisal
7. Staff policies and procedures
8. Conflict management: disciplinary procedures, grievance procedure
9. Development of action plans to implement staff management policies, procedures and tools for the conservancy

**2** **LIST:** The **competencies** of Module 1.11 by writing them on a flipchart sheet. To save time you may prefer to have Flipchart Sheet #2 prepared in advance.

**People who receive training in Module 1.11 will be able to:**

1. Show a detailed understanding of labour law and how it applies to their conservancy
2. Explain the staff-related activities required by the conservancy
3. Demonstrate an understanding of labour and staffing issues
4. Develop staff policies and procedures for the conservancy
5. Establish a plan to develop any contracts, job descriptions, policies etc., that are required but are currently not in existence


**EXPLAIN:** The competencies to the participants.

**NOTE:** If participants are not familiar with staff management, then you may wish to begin by explaining what this term means and why it is important in the context of a conservancy.





**ASK: Why is it important for conservancies to have good staff management practices in place?**

**3**  Ask pairs of participants to consider this question, and then ask for pairs to present a quick answer while the rest of the group listen. Write the first few pairs' contributions on the flipchart sheet under the title 'Why is it important for conservancies to have good staff management practices in place?' Then ask other pairs to add their contributions (also add to the flipchart sheet, along with any of the points below not mentioned).

**EXPLAIN:** We need good staff management to be in place in order:

- To ensure the conservancy complies with legal requirements.
- To ensure transparency and accountability.
- To provide fair and consistent treatment of **ALL** staff.
- To help supervisors to avoid and/or handle staff issues.
- For staff to know their rights and responsibilities.
- To attract, recruit, develop, motivate and retain good staff.
- To obtain the best work performance from your most important (and costly) asset.

**4** **EXPLAIN:** At this workshop we are only going to look at some key aspects of staff management. We shall be covering a great deal in a short time. However, there will be technical support available after the workshop to help you actually implement what you will have learned here. Plus you will receive a Participant's Manual that you can refer to once you are back at your workplace.

**5** **EXPLAIN:** It is very important that you bear the following in mind throughout this training, and also in respect of staff-related activities at your conservancy later:

- You must **never be discriminatory in your staff management practices** but must (for example) actively seek to recruit more women and people with disabilities into employment wherever possible, and ensure that nothing in your staff management practices disadvantages these groups in the workplace. However, recruited staff has to meet the required criteria and have the necessary skills to perform the tasks required by the position.
- This will not only benefit the conservancy in terms of legal compliance but you will also attract, recruit, train, develop and motivate the best possible people to achieve your conservancy's goals.
- Some conservancies have become smart in the way they do business by hiring staff from neighbouring conservancies who have the relevant skills



to assist them. This ensures that appropriate skills are transferred from people in the same language groups and it is cost effective for them to do the same.

**NOTE:** These points are mentioned during the workshop in particular topics but should be considered fundamental principles underpinning everything the conservancy does with regard to staff management.



## TOPIC 1: Labour law

**NOTE:** Please refer to the NOTE TO TRAINERS/FACILITATORS ON TRAINING TOPIC 1, 6, and 8 at the beginning of this Manual before training this topic.

**1** **EXPLAIN:** 'Labour law' is legislation passed by the Namibian government that exists to protect the rights of both employees and employers. The latest Labour Act in force is Act 11 of 2007. The Act is comprehensive and covers the following key areas. We will not go into much detail now as we will look at the most relevant sections later in this topic.

**2** **LIST:** The following areas covered by the Act, and give a very brief explanation of each:

- Application of the *Labour Act* – who is covered by the law;
- Fundamental rights – prohibition of discrimination, sexual harassment; prohibition and restriction of child labour; and freedom of association;
- The right to strike, and lockout;
- Minimum conditions of employment – working hours, leave, night time work, work on Sundays and public holidays;
- Workplace health and safety representatives;
- Termination of employment;
- Prohibited strikes;
- Conciliation of disputes;
- The Labour Commissioner;
- Effects of protected strikes;
- Workplace health and safety committees;
- Arbitration awards;
- Forms and purpose of a strike;
- Arbitration of disputes;
- Unfair dismissal;
- Dismissal due to collective termination;
- Severance pay – pay on termination;
- The Labour Court;
- Unfair labour practices and disclosure of information.




### 3 EXPLAIN:

- A copy of the *Labour Act* can be purchased for N\$25 from the Ministry of Labour and Social Welfare (at your local Labour Offices) but it is written in legal words and phrases and so may not be easy to understand. The text of the *Labour Act No 11* of 2007 can also be found at [www.mol.gov.na](http://www.mol.gov.na)
- NACSO-CESP has produced a document called 'A Guide to the Labour Act', which is written in more simple terms. Copies can be ordered from the Labour Resource and Research Institute, Windhoek. Tel: 061 212044.
- It is recommended that each conservancy obtain one or more of these documents to keep on file and be able to refer to as required.

**NOTE:** Pass round examples of the two documents mentioned above so that the participants can see what they look like.

**4 EXPLAIN:** During this workshop, we will cover key aspects of staff management that conservancies need to know on a day-to-day basis as an employer. There is much more within the *Labour Act* than we can cover here, but we are not trying to make you into legal experts! You may wish to study the entire *Act* once you are back in your conservancy, but in our experience if an issue arises only infrequently it is best to study the *Act* in relation to that issue only at that time, and seek advice from the local Labour Office, Ministry of Labour and Social Welfare.

**5**  Rather than just lecturing the participants, you can now **ask questions about certain provisions of the Labour Act** as some of them may be known to certain participants already. Or write out the key points from each section onto cards in advance to give to small groups so that they will have the opportunity to present the information to the rest of the participants. **NB:** Be certain to correct any mistakes or clarify any ambiguity, and ensure that all material given below is covered in full.

**1. Application of the Labour Act.** The law covers all employers and employees in Namibia except:

- The Namibian Defence Force
- The Namibian Police Force
- The Namibian Central intelligence Service
- The Prison Service

Therefore conservancies and their employees are subject to the law and must comply with it at all times or face prosecution and penalties, e.g., fines or imprisonment. The chairperson would most likely be the person held liable, on behalf of the conservancy, should non-compliance be uncovered.



**2. Minimum conditions of employment: working hours.** The normal working week cannot be more than 45 hours. For example:

- a. Nine hours per day if a five day week.
- b. Eight hours a day Mon-Fri and five hours on Saturday if a 5.5 day week.

An employee is entitled to a one-hour meal break after working continuously for five hours.

### 3. Minimum conditions of employment: overtime

Unless it is part of their agreement (contract of employment) an employer cannot expect or permit an employee to work overtime. The maximum hours of overtime are three hours per day and limited to 10 hours per week.

Overtime should be paid at least as one and a half times the employee's basic hourly/daily wage. If an employee works on a Sunday or public holiday, they must receive twice their basic hourly/daily rate OR they can be paid at 1.5 their basic hourly rate if they can be given a day off in lieu during the following week. All employees must receive at least 36 hours of rest during each week.

### 4. Minimum conditions of employment: annual leave

The minimum number of paid annual leave days depends on the number of days worked in a week.

Days worked	Annual leave days per year
5.5	22
5	20
4	16
3	12
2	8
1	4

An employer may determine when the annual leave can be taken, provided it is not later than four months after the end of the annual leave cycle.

**NOTE:** Explain that the CC needs to agree and communicate their annual leave cycle, e.g., January – December.

Employers are not allowed to pay money in lieu of annual leave except when employment is terminated.



### 5. Minimum conditions of employment: sick leave

Employees are entitled to one day paid sick leave per month during their first 12 months of employment. Thereafter, it is calculated over a period of 36 months:

Days worked	Working days sick leave per 36 months
5.5	33
5	30
4	24
3	18
2	12
1	6

**NOTE:** Reinforce the importance of accurately recording employees' sick leave. Explain that employers do not legally have to pay for sick leave days unless the employee produces a medical certificate if they are absent for more than two days. However, this may be difficult to comply with in remote areas and so the CC should decide whether they wish to adopt a more suitable policy.

### 6. Minimum conditions of employment: compassionate leave

Each employee is entitled to five working days, on full pay, per year if they have a serious illness or death in the family. However, 'family' only constitutes a child, a spouse, a parent, grandparent, brother or sister, mother-in-law or father-in-law, i.e., not the extended family.

### 7. Minimum conditions of employment: maternity leave

After being employed for 6 months continuously, women are entitled to 12 weeks' maternity leave: 4 weeks before the expected date of the birth and 8 weeks afterwards.

The employer must be provided with a medical certificate indicating the expected date of birth before the employee takes her maternity leave. When she returns to work she must bring another medical certificate confirming the actual date of birth.

During maternity leave, the employment contract remains in force and the employer must continue to pay any allowances and social security contributions etc. However, the employee must claim her basic wage from the Social Security Commission. At the time of writing, the Social Security Commission pays 100% of the basic pay up to a maximum of N\$10,000 per month for three months. It is the responsibility of the employee to comply with the requirements of the Social Security Commission in order to receive her maternity pay.

An employer may not dismiss an employee during maternity leave.

Maternity leave may be extended by one month if the mother or baby suffers complications as a result of the birth, but the employee must submit a medical certificate as proof.



## 8. Minimum conditions of employment: night work; work on Sundays and public holidays

'Night work' means work performed between 8pm and 7am. Employees working during these hours must receive an additional payment of six percent of their hourly basic wage for every hour worked during that period.

Pregnant women cannot be expected to work at night from eight weeks before the birth and until eight weeks after the birth.

Working on Sundays and public holidays is only allowed in certain cases, and conservancy campsite/lodge staff would fall into that category. Generally, if conservancy employees are requested to work on these days and agree to do so (they cannot be made to do so) then they have to be paid either:

- a) Double their basic daily wage, or
- b) One and a half times their daily wage plus a day off in the following week.

For staff engaged in tourism jobs, the fact that they are required to work on Sundays/public holidays should be stipulated in their contracts of employment (i.e., they agree to do work on these days by accepting their contract of employment – and they would receive the same as above for Sundays/public holidays worked).

## 9. Termination of employment

Notice of termination must be given in writing, and the employer must state the reasons why, and the date on which notice is given.

Instead of the employee working out the notice period, an employer may pay the employee the remuneration the employee would have received during the notice period.

A termination notice may not be given during leave.

Notice periods are:

Employed 4 weeks or less	1 day
Employed 4 weeks up to a year	1 week
Employed over 1 year	1 month
(Death of an employee)	1 month)

**NOTE:** An employee has the right to dispute the lawfulness or fairness of their termination and may report their case to the Labour Commissioner within 30 days. Therefore in the event that a conservancy is considering terminating an employee's employment, the conservancy must ensure the termination rules are followed and documented properly by contacting the local Labour Office (Ministry of Labour and Social Welfare), which will provide the necessary advice and guidance.



## 10. Unfair dismissal

No employer is allowed to dismiss an employee without a valid and fair reason, and without following the procedures set out in the *Labour Act*. Should an employee contact the Labour Commissioner to complain about their dismissal, it is the employer who must prove the dismissal was fair. Employees may not be dismissed because of their:

- Gender
- Race
- Colour/ethnic origin
- Religion
- Sexual orientation
- Creed (system of beliefs, principles, or opinions)
- Social or economic status
- Political opinion
- Marital status

It is unfair to dismiss an employee on the following grounds:

- Disclosure of information that the employee is entitled to, or required to, disclose.
- Failure/refusal to do something the employer cannot legally require.
- Exercising any rights given in the *Labour Act* or employment contract.
- Membership of a trade union.
- Taking part in the formation of a trade union.
- Participating in the lawful activities of a trade union.

**11. Severance pay on termination.** An employer must pay severance pay to any employee who has completed 12 months of continuous service and who:

- a. Is dismissed, or
- b. Dies whilst employed, or
- c. Resigns or retires at the age of 65 years.

This does not apply if the employee:

- Was dismissed fairly due to misconduct or poor performance.
- Unreasonably refuses to be re-instated.
- Refuses to accept employment on terms that are not worse than those he/she experienced before the termination.





Severance pay must be at least one week's remuneration for each full year of service.

The final payment to the employee must be made on or before the next pay day after the termination and must include:

- Pay due for work up to the last day of employment.
- Severance pay (if employee was employed at least 12 months).
- Annual leave outstanding (pro rata for the year).
- Any Sunday/public holiday pay due.
- Notice pay (if employee to be paid instead of working the notice period).

The employer must also give the employee a 'Certificate of Employment' stating the following:

- Employee's full name.
- Employer's name and address.
- Dates when employment started and ended.
- Employee's job description.
- Remuneration at the time of termination.
- Reason/s for termination (if requested by the employee).

**6** **DISTRIBUTE:** Handout #1 to participants and discuss.



**7** **EXPLAIN:** Once a conservancy is registered, it is recognized as a legal entity. Because the conservancy employs people – Game Guards, community activators, community resource monitors, office staff, field officers or conservancy managers – **it has certain responsibilities as an employer.** These responsibilities are determined by the laws of Namibia and a conservancy has to comply with them. A conservancy has to comply with regard to:

- Registering as an employer with the Social Security Commission and making regular payments.
- Registering all employees with the Social Security Commission and deducting regular contributions.
- Registering with, and making annual contributions towards, the Employees' Compensation Fund.
- Assisting employees to register for PAYE and making the required payments.
- Registering for and paying VAT (when legally required to do so).



**8 EXPLAIN:** Each employee is legally entitled to be registered with the Social Security Commission as they are then eligible for benefits such as maternity pay, sick pay, disability and injury compensation, death benefits, and state pension. The contribution each month is calculated based on what the employee earns; the employer deducts a certain sum from the employee's wages, and the employee contributes the same amount. The employer then pays the Social Security Commission the total amount per employee on a monthly, quarterly or annual basis.

The employee and employer need to complete and submit the necessary forms to the appropriate government offices, and regular administrative procedures must put in place.

**9 EXPLAIN:** Should any employee earn more than N\$40,000 per year, that employee must be registered for pay-as-you-earn (PAYE)/income tax.

The employer must then deduct the relevant PAYE amount from each month's wages. They then pay this amount to the Receiver of Revenue each month. They must also complete records for the employee and Receiver of Revenue each year.

**10 EXPLAIN:** Each employee should be given a payslip every month recording what wages they earned, any deductions made (e.g., social security contribution), and what they actually received. A copy should also be kept on file by the conservancy.

**11 SUMMARISE/LINK:** In Topic 1 we have looked at key sections of the Labour Act and their applications in the conservancy context. In the next topic we are going to look at drawing up conservancy job descriptions, but before we do that let's just take a moment to review our progress.

**ASK: Which key aspects of the Labour Act have we covered in some detail?**



Ask participants to suggest which key aspects of the Labour Act you have just discussed together and capture their responses on a flipchart sheet under the heading 'Key aspects of the Labour Act'. **NB:** Ensure that all the aspects discussed are mentioned (not the detailed content however but just the headings and key information).

During Topic 1 we have also talked about why it is important to comply with the Labour Act.

**ASK: Who benefits from complying with the Labour Act?**



Ask participants to suggest who benefits from compliance with the Labour Act and capture their responses on a flipchart sheet under the



heading 'Who benefits from the Labour Act?'. **NB:** Reinforce that both the employer (conservancy) and staff members benefit.

- For **the conservancy** it means that it complies with the law; reduces the potential for staff issues to arise; and avoids costly and time-consuming labour disputes that can damage the reputation of the conservancy.
- For **the employee**, they know they are being treated fairly and lawfully.

Does anyone have any questions before we move on to the next topic?

**TRAINER'S NEXT STEPS:**

*The trainer may recommend scheduling a one-day workshop for the CC and employees, facilitated by the Technical Assistant, and to be held to explain the subject of registering with the Social Security Commission in more detail, complete the paperwork, and set up the administration.*



## TOPIC 2: Staff recruitment: job descriptions

### ASK: What is the purpose of job descriptions?

1



Ask participants to consider the question above and capture their responses on a flipchart sheet under the heading: 'Why do we need job descriptions?'. Ensure the following points are discussed:

#### EXPLAIN: Job descriptions are important:

- For the employer and employee to have a shared understanding of the employee's role and responsibilities.
- To be clear about who it is that the employee reports to.
- To document if an employee has specific responsibilities with regard to money, vehicles, equipment and/or if they have staff reporting to them.
- To clearly define the required qualifications and experiences for the job.

#### EXPLAIN:

1. Each existing member of staff should have a job description. It should have been thoroughly explained to them at the time that they were employed so that they are very clear about what their job entails and what is expected of them.
2. Each job description should be reviewed and updated regularly.
3. For new jobs, the job description should be written before anyone is employed. The CC must understand why a new post is needed and approve its creation; the CC must identify what the job will entail and how it will affect the conservancy budget. At the same time the type of contract, salary and job title of the post must be decided upon. The job description should be agreed by the CC and it will also be used when advertising the job. It is desirable that the person who will supervise the new recruit also produces the job description.

2

**DISTRIBUTE:** Handout #2 and Handout #3. Read through the handouts together and discuss each in turn in respect of the following:



3


#### EXPLAIN:

1. The job description identifies how the person recruited in this job will



contribute to the overall objectives of the conservancy (**key purpose of the role**) and therefore what the main activities they will need to fulfil will be (**key responsibilities**).

2. The job description identifies who will be the key people the person recruited in this job will work with in the course of their job (**key working relationships internal/external**). The job description identifies if the person recruited should be given any equipment to enable them to do their job. If they have a budget or staff to manage, these need to be recorded too (**resources responsible for**).
3. The job description includes (under the **person specification section**) the minimum but essential requirements for the job. For example, what qualifications must they have (e.g., Grade 10); what personal qualities (e.g., honesty, self-motivation); and what skills (e.g., communication, team-working, problem-solving, planning and organising).
4. For new posts, the job description will also include **the type of contract, salary and job title of the post** as this needs to be approved by the CC; will influence the advertisement for the post; and will affect the contract of employment once the job holder has been recruited.

**4**  Split the participants into small groups and give each group a sheet of flipchart paper and some pens. Ask each group to identify a job that currently exists at their conservancy (or that is planned for the near future). **NB:** Try to make sure that groups do not all identify the same post. Then ask the groups to prepare a job description for the post they have selected. Tell them that each group will report back and share their job description so that the other participants can make suggestions towards further improvement. (Participants can keep their draft job descriptions for future reference.)

**5** **DISTRIBUTE:** Handouts #4, #5 and #6 and discuss them together (the latter has 2 pages).

**EXPLAIN:** These handouts show how job descriptions might be written for a Treasurer, a Secretary, and a Conservancy Manager. However, each conservancy might produce a job description for each post that is slightly different, according to the circumstances of each conservancy. Job descriptions are necessary to be clear about what the job entails in order to contribute to the goals of the conservancy. The conservancy then recruits the right person to be able to do that job effectively.

**NOTE:** It is important **to be aware of the potential for gender discrimination when writing job descriptions**. Are we indirectly excluding women from doing that job by including requirements that may not be strictly necessary for the job, yet disadvantage women from being selected? (For example if there are few



women in the community with the educational qualifications we say we must have; or we stipulate that there are responsibilities that require someone to be away from their home overnight; or require physical attributes only men are likely to possess). We should question whether these are realistic and strictly necessary and challenge our perception that perhaps only a male could carry out this role.


**6** **SUMMARISE/LINK:** In Topic 2 we have looked at the purpose of job descriptions and how to write them. We have seen how having job descriptions in place can prevent staff issues that arise because individuals are not clear what their job is all about, or choose not to do some of their activities/duties.

Now we are going to move on to the topic of advertising conservancy job vacancies, but before we do that let's just go back and look at our objectives for this workshop to confirm that we are still 'on track' (*refer back to the first flipchart sheet – or prepared Flipchart Sheet #1*). Does anyone have any questions before we move on to the next topic?



## TOPIC 3: Staff recruitment: job advertising


### ASK: Why do we need to advertise job opportunities?

1  Ask participants to consider the question above and capture their responses on a flipchart sheet under the heading: 'Why do we need to advertise job vacancies?'. Ensure the following points are brought out:

#### EXPLAIN: We need to advertise job opportunities in order:

- To be transparent about letting the widest possible range of potential applicants know about the vacancy.
- To maximise the potential for letting the greatest number of possible applicants know about the vacancy, in order to be able to attract the best possible candidates. In the past it may not have been the practice for women to be employed, but today no institution can afford to ignore the potential talent available to them by limiting the opportunities to attract and employ women.
- To be accountable in terms of recruiting without using selective, discriminatory or unfair practices. For example, by ensuring we provide equal opportunity for women to know about the job, and actively encouraging women from the conservancy to apply.

### ASK: How do we advertise a job vacancy?

2  Ask participants to consider the question above and capture their responses on a flipchart sheet under the heading: 'How do we advertise a job vacancy?' Ensure the following points are brought out:

#### EXPLAIN: We can advertise a job vacancy:

- Through adverts broadcast on local radio.
- Through written adverts in local/national newspapers or other print media.
- By placing written adverts in prominent places in the community, such as shops, craft outlets, clinics and schools.
- By placing written adverts on notice boards in the community.
- By mentioning the vacancy verbally at public meetings, such as a community meeting.



**3 EXPLAIN:** You will want to maximise the number of potential applicants your job vacancy advertisement reaches in order to have a good choice of suitable people to select from. Where and how you advertise the job will depend on the type of person you are looking to employ.

1. If you are looking for a **high level of educational qualifications and skills**, there may not be many people locally who meet your requirements. Therefore advertisements in local or national newspapers may be appropriate, but they are very expensive.
2. If you need someone with a **level of education and skills that are readily available locally**, then a written notice displayed in places where many people (men and women) have the opportunity to see it may be sufficient.

**4 EXPLAIN:** When **composing the job vacancy advertisement** it is necessary to include at least the following information (more details may be included, according to the specific job in question):

- A brief outline of the conservancy, mentioning that the conservancy is an equal opportunity employer.
- A brief description of the post, and if relevant the expected duration of employment and anticipated start date;
- The qualifications and competences (person specification) required;
- The contact details of the relevant person ( i.e., where to apply and to whom);
- Whether a CV and/or cover letter and referees' details are required;
- The closing date for applications.

**5 DISTRIBUTE:** Handout #7 and discuss in detail. Also refer participants to copies of daily newspapers and consider how job adverts are presented there.

**6 SUMMARISE/LINK:** In this Topic 3 we have looked at why we should advertise jobs, how and where to advertise them, and how to write a job vacancy advert in order to include all the important information a prospective candidate needs to know. In the following topic we are going to look at how to recruit and select suitable staff members for the conservancy.


Let's just check that we all feel that we have covered the third objective for this workshop (refer back to the first flipchart sheet – or prepared Flipchart Sheet #1). Does anyone have any questions before we move on to the next topic?






## TOPIC 4: The recruitment and selection process

**ASK: What is our understanding of the recruitment and selection process?**

**1**  Ask participants to consider the question above and capture their responses on a flipchart sheet under the heading: 'What is the recruitment and selection process?'

**EXPLAIN:** The CC needs to design a **short, simple but transparent process** that will enable the conservancy to be able to review the applications of potential candidates and be able to select the best suitable candidate for the position. It is important to **demonstrate consistency and fairness in the selection process**.

- How others perceive the process says much about how the conservancy is viewed, i.e., whether it is seen to be professional and non-discriminatory (e.g., actively seeks to employ women and people with disabilities who could do the job).
- It is important that the CC handles the selection process carefully. For example, it is important to ensure that the people in the interview panel are not related to the candidate being interviewed. If there are such cases, it is better that such people excuse themselves from the interview panel.
- It is also important that the selection process be handled in accordance with the policies of the conservancy. For example, the final decision on the appointment of the Conservancy Manager/Coordinator must be made by the CC. For staff below the Conservancy Manager/Coordinator level, the CC may delegate powers to appoint such staff members to the Conservancy Manager/Coordinator.

**2**  Ask participants to identify the steps involved during the interview and selection process, which you should summarise on a flipchart sheet under the heading 'Interview/selection process'.

**DISTRIBUTE:** Handout # 8 and give a brief overview of the process.

**3** **EXPLAIN:** We will now go through each of the steps in turn. Firstly, let's look at the initial step, **identifying the vacancy:**

1. If this is a new post, check:
  - a. Whether the conservancy members authorised the post.
  - b. Is there a budget for the salary and associated costs, e.g., social security etc.?
  - c. What date it is to be filled?



2. If it is an existing post:
  - a. Does it need to be filled, i.e., could the job be split amongst other roles?
  - b. If it is needed, must it be exactly the same as before or could you add/subtract some key responsibilities?

**NOTE:** We have already covered the next two steps represented on the Handout #8 diagram in our previous 2 training topics so we will proceed to the fourth one straight away.

#### **4** **EXPLAIN:** Now, let's look at the fourth step, **sorting the applications.**

1. As soon as the closing date has passed, collect all the applications together and – with the supervisor – go through them all to decide who will be invited for an interview.
2. Using the qualifications and skills stipulated, decide who meets the criteria you are looking for and who does not. Be mindful that you do not reject someone because of their gender/disability if they do actually match the criteria.
3. You need to be able to identify who matches your criteria closely, and how well, because you should try to keep the number you interview for each post to 4 -5 people only.
4. Invite those who meet the selection criteria to attend an interview at a particular date and time. Send those who do not meet the selection criteria a courteous rejection letter (see the Participant's Manual for an example).

#### **5** **EXPLAIN:** Now, let's look at the fifth step, **interviewing the applicants:**

- Decide who will be on the interview panel. This step is important as it is critical to avoid a conflict of interest situation and this stage also makes the process transparent.
- It is important that the panel is very clear about their role (whether they have the powers to make the final decision or whether they need to communicate their recommendations either to the CC or to the Conservancy Manager/Coordinator).
- The number of people on a selection panel should be kept to a reasonable number otherwise the applicant may be overwhelmed.



- **Before interviewing applicants:**
  - a. Familiarise yourselves with the individual's paperwork.
  - b. Agree what aspects each interviewer will be looking to find out more about.
  - c. Agree what questions you will each ask (so you do not duplicate).
  - d. Decide what order each interviewer will follow (a logical flow).
  - e. Decide who will 'chair', i.e., introduce, manage, and close interview.
- **During the interview:**
  - a. Help the applicant to be as relaxed as possible.
  - b. Remember you want to find out as much as you can about the applicant so that you can judge whether they would be a good person for the job.
  - c. Ask open questions that allow the applicant to do most of the talking. Closed question will only illicit yes/no or factual answers and may close the conversation down.
  - d. Take brief notes of their answers to help you recall important details later.
  - e. At the interview's end, allow the applicant to ask any questions they may have. (An interview is a two-way process – you get a chance to find out about the applicant but they then also get an opportunity to find out about your conservancy, the job on offer and so on.)
- **After the interview:**
  - a. Everyone on the panel reviews each applicant's performance immediately after the interview, while memories are fresh and accurate. What were the strengths and the weaknesses of each candidate?
  - b. Interviewers decide who was the best person for the post (regardless of their gender or other characteristics that are not relevant to the post).
  - c. The panel makes its recommendation to the CC or the Manager/Coordinator (this will depend on the policies of the conservancy).
  - d. The successful candidate receives a formal, written job offer (see an example of a letter in the Participant's Manual.)
  - e. Once the applicant has accepted the job in writing, send a courteous letter to the other applicants to notify them that they were not successful. (See the Participant's Manual for an example of such a letter.)

**NOTE:** We will deal with contracts and orientation/induction (the latter only briefly) in the next topic of this training.



- 6 **SUMMARISE/LINK:** In Topic 4 we have looked at the different steps involved in the recruitment and selection process, and why it is important that this process is carried out correctly through all its stages. In the next topic we are going to look contracts of employment, but before we do that let's just take a moment to review our progress in this last topic (*refer back to the first flipchart sheet – or prepared Flipchart Sheet #1*).

**ASK: What are the key steps involved in the recruitment and selection process.**




Ask participants to identify key steps in the recruitment and selection process and capture their responses on a flipchart sheet under the heading 'Key steps of a recruitment and selection process'. **NB:** Ensure that all the steps discussed previously are mentioned (*not the content however but just the headings*).

**EXPLAIN:** Does anyone have any questions before we move on to the next topic?




## TOPIC 5: Contracts of employment

### ASK: What is a 'contract of employment'?

- 1  Ask participants to consider the question above and capture their responses on a flipchart sheet under the heading: 'What is an employment contract?'


**EXPLAIN:** The employment contract is a legal document signed by the employer and employee agreeing the terms and conditions under which the person is employed.

### ASK: Why are contracts of employment necessary?

- 2  Ask participants to consider the question above and capture their responses on a flipchart sheet under the heading: 'Why do we need employment contracts?'

**EXPLAIN:** Employment contracts are legally binding on both sides (employee and employer), i.e., each party must comply with all the terms and conditions stated in the contract. Employment contracts therefore serve to protect the rights, in law, of both the employer and the employee. All employees are entitled by law to be given a contract of employment.

### ASK: What details would we expect to find in an employment contract?

- 3  Ask participants (in pairs this time) to consider the question above and capture their responses on a flipchart sheet under the heading: 'What goes into an employment contract?'

**DISTRIBUTE:** Handout #9 (3 pages in total) and explain that you are going to discuss each section in detail together. Refer to participants' answers in Step 3, above, as you do so.

- 4 **EXPLAIN:** The contract of employment should be prepared before the first day of an employee's employment so that it can be read, discussed, possibly amended, and then signed on the first day. **NOTE:** For existing employees who do not have contracts of employment these should be prepared, discussed and signed at the earliest opportunity.

**NOTE:** Let's go through the different sections together now. Please note that from time to time I will mention a document called 'the conservancy Staff Policy'. We are going to look at this document in more detail later in the workshop training.



1. The first page should be completed with the **relevant conservancy information and employee's personal details**.
2. **Appointment date and position:** the job title (i.e., Manager, Treasurer, Secretary, Game Guard etc.) should be completed and importantly the date the employee starts working for the conservancy. In this section too we make clear **if this is a long-term contract** (i.e., no set end date) or **if it is a fixed-term contract** (i.e., 1 year, or 3 months etc). Many businesses use fixed-term contracts these days as it is difficult to predict if they will still need that job or those skills indefinitely, and they may need to change or terminate that particular position at some time in the future. If the contract is fixed-term, the end date needs to be included, along with a sentence saying when the contract will be reviewed (because it could be decided to terminate or extend the contract).
3. **Remuneration:** i.e., the amount of salary/wages the employee will be paid. Included, if appropriate, is whether he/she will be paid in cash or by deposit into his/her bank account. Also included is the day of the month he/she will be paid (sometimes it is not at the end of the month). (This section may also mention benefits such as a staff medical scheme, housing allowance etc., as appropriate, though these may not apply in the conservancy context.)
4. **Working hours:** must be in compliance with the *Labour Act*, i.e., not more than 45 hours per week (but may be less). Therefore included here will be information that relates to the conservancy's policy on working hours and overtime, which must be in accordance with the *Labour Act* at all times. If the employee is engaged in tourism work and is therefore expected to work Sundays/public holidays, then this must be stated clearly – otherwise it could lead to staff issues/disputes later.
5. **Probation period:** this is the period during which the conservancy is able to assess the new employee's suitability for the job and the individual can decide if they wish to continue to work for the conservancy. If, within that stated period, it is decided that the employee is not able to achieve the expected standard of performance, or the individual decides they do not wish to continue in the role, only a week's notice is required on either side. Beyond the probation period, normally a month's notice of contract termination is required for someone who is paid monthly. The probation period should be detailed in the conservancy Staff Policy. It is usually 3 months for a job that requires basic knowledge and skills, but is often 6 months for jobs that require a higher level of knowledge, skill and responsibility.



6. **Leave:** if the employee starts work part way through a 'leave year' he/she may be granted some leave days worked out on a pro rata basis. Thereafter he/she will get the full leave allowance dependent on the number of days per week that he/she works.
7. **Use of vehicles:** this section is only included if the employee is going to use a conservancy vehicle. If the conservancy has vehicles, then the policy regulating their use should be included in the Staff Policy.
8. **Protection of organisation interests:** a standard paragraph included in most contracts of employment that relates to confidentiality and specifies the employee's general liabilities and responsibilities in respect of the protection of the organisation's reputation and good standing.
9. **Staff Policy:** new and existing employees should read the conservancy's 'Staff Policy' document before signing any contract, and a copy of that document should be available for anyone to refer to at any time, including at the time that the contract is actually signed.
10. The **signatures** are then added to the contract. The person(s) authorised to sign on behalf of the CC (the 'employer', usually the Chairperson) and the employee sign.

**NOTE:** The contract and Staff Policy should always be presented to new employees on their first day of work. They should keep a copy of their contract, and the original should be safely filed in the conservancy records (in the 'personnel file').

**5 EXPLAIN:** How quickly and how well a new employee performs in his/her role will depend on how much effort the conservancy puts into orientation/induction at the start of his/her employment and for the first few weeks subsequently. This is a key process in good staff management and although we do not cover the topic in this workshop you will find guidance on the induction process in your Participant's Manual.

**6 SUMMARISE/LINK:** In this topic we have looked at what a contract of employment is, why we should have them in place, and what should be included in a contract. Let's just take a moment to evaluate our progress towards the fifth objective for this training (*refer back to the first flipchart sheet – or prepared Flipchart Sheet #1*).



**ASK: What are the key sections of a contract of employment?**

Ask participants to identify key sections of an employment contract and capture their responses on a flipchart sheet under the heading 'Key sections of an employment contract'. **NB:** Ensure that all the sections discussed are mentioned (not the content however but just the headings).

**EXPLAIN:** Now we are going to move on to the topic of conservancy staff appraisal. Does anyone have any questions before we move on to the next topic?





## TOPIC 6: Performance management: staff appraisal

### Session 1: Introduction to the staff appraisal system and performance management (*approximately 45 minutes*).

**1** **EXPLAIN:** Your conservancy's most important asset – its key resource – is the people who work for the conservancy. How capable and motivated they are determines how well your institution achieves its purpose and, importantly, how your members, partners and potential donors view your conservancy. **A conservancy needs to actively manage the performance of all staff to get the best from them and succeed in achieving the conservancy's goals.** Implementing a staff appraisal system is a major tool for achieving these aims.

- It is an important tool for use in improving performance, and developing knowledge, skills and a positive attitude to work.
- It also encourages open and honest communications between the supervisor and the individual.
- It is a good system for the conservancy to begin providing the means for every person to develop their capabilities and thereby maximise their potential.

**2** *Ask participants to consider the main purposes of a staff appraisal and capture their responses on a flipchart sheet under the heading: 'Purposes of the staff appraisal'. The following purposes should be mentioned; if any are missed out then add them to the list at the end of the activity:*

**EXPLAIN:** A **staff appraisal has several purposes:**

- To gather information about the skills and potential of staff.
- To assess the performance of staff.
- To let the staff know how well they have performed.
- To assess areas for future training and development for staff.
- To allow staff and supervisors to discuss personal, team and conservancy objectives.

**Ask: How might performance management be of benefit to the conservancy and its staff?**

**3** *Ask participants to consider the question above and capture their responses on a flipchart sheet under the heading: 'How does performance management benefit the conservancy and staff?'. The following reasons should be mentioned; if any are missed out then add them to the list at the end of the activity:*



**EXPLAIN:** A good appraisal system has the following benefits:

- It improves staff performance by revealing problems that may be restricting progress.
- It provides information to develop a conservancy-level training/development plan for their staff.
- It improves communication by allowing staff and managers to discuss future objectives, priorities and activities and identify problems before they become bigger staff issues.
- It contributes to good staff motivation and helps staff to feel ownership of the aims, goals and responsibilities of the conservancy.

**EXPLAIN:** The aim of an appraisal is for the individual staff member to be able to know:

- How well he/she is doing;
- The areas where he/she can improve;
- What assistance he/she requires in order to improve;
- His/her objectives for the future (either short- or long-term);
- What activities he/she can undertake to achieve those objectives.

**4** **EXPLAIN:** Implementing an appraisal system is a process that involves a number of key steps. Before we look at these steps, let's briefly identify the **principles that underpin the staff appraisal system.**

1. The **CC needs to produce a 'Staff Policy'** document and agree on the appraisal period(s).
2. The supervisor should, throughout the year, **regularly review with the individual staff members**, what they have achieved, what they are doing well, and where they might improve their performance. For some roles it may be appropriate to do this monthly, but it should be done at least quarterly. That way, staff will feel motivated to do more of what they are good at, and they will have an opportunity to work on improving areas where they are less strong – this is especially useful if they have been helped with specific ideas about how they might be able to do things differently. Formal discussion should not be restricted to yearly, or twice-yearly, events.
3. The **performance factors against which staff members are being measured must be made clear** to them so that they understand what is expected of them.



4. It is useful to keep **a note of some of the key points raised during a review meeting** as eventually these will be incorporated into a formal document (the 'Staff Appraisal' form). The notes will help recall and therefore make it easier to compile the 'Staff Appraisal' form accurately in such a way that comments/ratings are reinforced with specific examples.
5. Writing someone's appraisal and meeting with them to discuss it may be new and challenging for some supervisors but it does become easier with practice. An **important approach to take is that this is a process will help a person do their job better** and build on their potential – it is not about creating an opportunity to punish or treat people disrespectfully.

## **Session 2: Stages in the staff appraisal system** (*approximately 2 hours*).

**EXPLAIN:** Now let's look together at the various stages in the appraisal system, step by step.

**1 Stage 1: Preparation.** Before the appraisal meeting is due, the supervisor should undertake the following preparation:

1. The supervisor should familiarise him/herself with the employee's job description and workplans for the period in question.
2. The supervisor should solicit the views of other people who have worked with the employee in order to be aware of work the employee has done well, as well as his/her shortcomings.
3. The supervisor should review his/her notes from previous meetings with the employee.
4. The supervisor should remind the employee that the appraisal is due and suggest a date and time. The employee should be given the 'Personal Review' form to complete (this will help them to think about their performance over the appraisal period in question before you meet together).

**DISTRIBUTE:** Handout #10 and discuss.

**ASK:** Does anyone have any questions about preparation for appraisal before we move on to the next step?

**2 Stage 2: Completing the 'Staff Appraisal' form**

**DISTRIBUTE:** Handout #11 (3 pages) and Handout #12 and explain each performance factor and discuss the various headings under the appropriate sections below.



## 1. Performance factors:

- a. 'Technical standards' are those competences that are specific to the person's role. For example, a Game Guard would need to have the knowledge and skills to use the Event Book System and deal with a problem animal situation. Use the Job Description to draw out some key headings that are relevant to this section and write them in.
- b. Under the 'Management' and 'Professional standards' sections, just cross out any that do not apply. For example, some jobs may not require any financial duties, so it would not be appropriate to comment on that person's financial capabilities, as you do not have any evidence of their performance regarding financial administration.

**NOTE:** The latter two are generic lists, and you may find that some of these are not particularly relevant for your conservancy. However, you might also find that others that are not included in this list are important to the way you want your conservancy to operate (and are therefore related to staff performance). In that case, amend the list of performance factors. Remember to communicate the performance factors to your staff too, so that they fully understand what performance criteria they are being evaluated against.

## 2. Performance rating.

For each of the performance factors in the left-hand column, using the information you have gathered you need to make a judgement about whether that individual's performance in this category was:

<b>Excellent</b>	1	The individual often achieves much more than expected and does even better than you would require or expect from them for this factor.
<b>Good</b>	2	You are satisfied that, more often than not, this person meets the standard and requirements you expect of them in this factor. Occasionally they even do better than you expect.
<b>Weak</b>	3	The person frequently disappoints you by the standard of their performance and they therefore need to improve in this factor.

To make your judgement as objective as possible think of specific examples, and make a note of them so that you can illustrate why you gave that rating when you meet with the individual. It may help to have someone in mind who you do consider 'good' at that particular factor and measure the employee being appraised against them. Are they as good? If not, what are they not doing as well? If they are better, what are they doing extra well? To have specific examples to discuss will help the individual understand, and be less able to challenge, in the next stage of the process.



### 3. Needs status

Having assessed how you rate their performance, now think about if this factor is key to them doing their job well, and do they therefore need to develop that capability more? If yes, put X (to indicate that skills are needed) and add any relevant comments, e.g., how soon and/or recommend a strategy for training/developing that factor. If they meet the standard adequately put a tick (to indicate that the person has the skills needed).

### 4. General comments

Make reference to particular strengths/achievements the person has demonstrated over the appraisal period in question. Highlight where they need to improve and suggest a plan of action to address those improvements.

### 5. Overall performance rating

Finally, you need to decide what the overall rating you give this person is. Look at the ratings for each factor: are there more 3s (weak), 2s (good) or 1s (excellent)? If you have equal numbers of each, which are the factors that are MOST important to this particular job (i.e., allocate a weighting) and what rating have you given those? Write the overall rating on the front page – in the top section.

**3** *Ask participants to complete the template Staff Appraisal form as if they were a supervisor evaluating themselves. No one else is going to be looking at their appraisal of themselves so they should try to be honest/realistic about their own performance and support the ratings they give themselves with explanatory comments/examples. This is an exercise to understand the different sections of the form and experience how easy/difficult it might be to write an appraisal of a staff member.*



**4** **ASK:** Let's review how difficult or easy we found it to write an appraisal of someone we know quite well, i.e., ourselves! Remember that the information that you inputted onto the form is confidential but it will be useful to hear what you found difficult, and why, and also what questions completing the form raised for you.

- How could you describe the overall experience of completing the 'Staff Appraisal' form?
- What did you like/not like about completing the 'Staff Appraisal' form?
- What did you find difficult or easy about completing the 'Staff Appraisal' form?
- What questions has completing the 'Staff Appraisal' form raised for you?
- Were you able to provide examples to support your ratings?
- Were you able easily to differentiate between the categories 'weak', 'good' and 'excellent'?
- Were you able easily to differentiate between the different performance factors?

**ASK:** Does anyone have any questions about completing the 'Staff Appraisal' form before we move on to the next step?



## 5 Stage 3: Conducting the appraisal meeting

**EXPLAIN:** This is an important meeting. It can influence the relationship between supervisor and staff member (for better or worse), and it can make a real difference to a person's motivation and performance. It must be prepared for and handled professionally so we will look at some key points to remember.


1. Ensure you have a suitable location for the appraisal meeting, e.g., it should be private and allow you to conduct the meeting uninterrupted.
2. Allow at least 45-60 minutes for the appraisal meeting.
3. Check you have all your paperwork (e.g., 'Staff Appraisal' form and notes, Job Description). The employee should have completed his/her 'Personal Review' form.
4. Create as relaxed an atmosphere as possible. During the introduction, as well as greeting the employee, explain the purpose of the appraisal meeting and how long it might take. Point out that it will be a collaborative process – you will each have input to the process of completing the 'Staff Appraisal' form.
5. Begin by asking the person to talk about how they see their performance over the appraisal period in question. Encourage them to discuss their achievements; any changes that may have affected their performance, either positively or negatively; how content they are with their role; and what opportunities he/she has identified for his/her own development.
6. Where employee assessment matches your own, acknowledge this and perhaps even reinforce the point (if it represents good performance that you wish to encourage them to continue demonstrating).
7. Where employee assessment does not match your own you will need to point this out and explain why your assessment differs. This is where having specific concrete examples will help you. If the example is accurate and factual it cannot be disputed. Also, it can put the point in context and help the person to understand why his/her performance was not up to standard.
8. People often underrate themselves too, so by giving examples of when you thought the employee's performance was better than he/she estimated, you highlight the performance you want to see repeated.
9. Until you are familiar with this process you may need to go through the 'Staff Appraisal' form factor by factor and discuss each rating, needs status, and comment in turn. With practice, you can develop a more free-flowing conversation that covers each point more naturally (if perhaps more randomly).




10. If there are points on which you do not agree, note this on the 'Staff Appraisal' form, and then both sign. The signing is to confirm the appraisal has taken place, not that the member of staff agrees to everything written and discussed.
11. Remember to discuss outputs and activities for the coming period and, where appropriate, ensure they are carried through into the employee's workplans.
12. Make sure to listen and note any suggestions the employee has for improvements that may make his/her and/or the conservancy more effective. You may even wish to ask what you might do to be an even more effective supervisor.
13. Agree any specific action points that may have come out of the discussion for either of you. Make sure these are carried out and that progress is reported back at your next meeting.
14. Close the meeting. Thank the person for their efforts over the appraisal period in question and for meeting with you. If appropriate, mention how much you value the employee and look forward to working with him/her in the coming year. Let them know when you will get back to him/her to report on any action points you have taken away.

**EXPLAIN:** Let's imagine that we have completed Stages 1 and 2 in the appraisal process (preparation, and completing the 'Staff Appraisal' form) and are now about to **conduct an appraisal meeting** with a member of staff. Appraisal forms have been completed for fictitious staff members – a Manager, Secretary and Treasurer.

**DISTRIBUTE:** Handouts #13, #14 and #15 (all 2 pages), different ones to each group.

**6**  Divide participants into three groups, one per 'staff member'. Two volunteers are needed per group – one to role-play the 'supervisor' and one to role-play the 'staff member'. The rest of the group are to watch and listen and then give feedback to the supervisor as to what s/he did well and what s/he could do better.

**NB:** Give the 'supervisor' and 'staff member' a few minutes to prepare.  If relevant, tell the supervisor that we do not have sufficient time to role-play a full appraisal meeting so they should choose 3 or 4 performance factors to discuss and do an appropriate opening and closure to the appraisal meeting.

**NOTE:** Observe the activities carried out in the three groups so that you can highlight good points later. Encourage the observers to give the 'supervisor' specific feedback on what they did well or could improve upon.



**ASK:**

- What did you think was effective in your group's role-play and/or did not go well?
- How confident are the 'supervisors' regarding conducting an appraisal meeting for real.

**ASK:** Does anyone have any questions about conducting the appraisal meeting before we move on to the next step?

## 7 Stage 4: Post meeting

1. File the 'Staff Appraisal' form and 'Personal Review' form in the individual's personal (staff) file and let him/her have copies if they wish.
2. Implement any action points you collected during the appraisal meeting and especially any training/development activities you agreed upon.
3. Personally review the whole process:
  - a. What went well?
  - b. What could you do differently next time?
  - c. Where could the process be improved?

**8 SUMMARISE/LINK:** In Topic 6 we have looked in general at performance management and in particular at staff appraisal. We investigated what steps are involved in the staff appraisal system, and the benefits of having such a system in your conservancy. Appraising staff becomes easier with practice, and implementing the system builds the skills of the supervisor as well as the staff member.


In Topic 7 we are going to look at staff policies and procedures but first let's just check that we all feel that we remain on target regarding our objectives for this workshop (*refer back to the first flipchart sheet – or prepared Flipchart Sheet #1*). Does anyone have any questions before we move on to the next topic?





## TOPIC 7: Staff policies and procedures

**Ask: What is a 'Staff Policy' and why do we need one?**

- 1  Give each participant an index card and ask them to consider the above question. Each participant should then write his/her answer(s) on the card. Ask for volunteers to come to the front and explain their suggestion(s) to the group. Then stick the cards on to a flipchart sheet and build on the participants' comments to reinforce the meaning and importance of a written staff policy document.

**EXPLAIN: A conservancy Staff Policy documents the terms and conditions under which every staff member is employed.**


- The advantage of having such a document is that employees understand their rights and obligations, and know those of their employer (the conservancy).
- It guides supervisors in managing their staff fairly and consistently – reducing the incidence of conflict and bad feelings.
- When a Staff Policy document is initially introduced it may be short and simple, but as the number of staff grows and staff issues arise, more needs to be included in the document in order to address various circumstances that occur. The Staff Policy should be regularly reviewed and updated, and staff must be informed of any changes and additions.
- The Staff Policy should reflect the conservancy's aim to provide equal opportunities and treatment for both men and women, and none of the policies or procedures should discriminate against either gender.
- The Staff Policy should include the conservancy policies on gender and HIV/AIDS.


### **TRAINER'S NEXT STEPS:**

*The trainer may recommend scheduling a workshop (or workshops) for the CC and employees, facilitated by an HIV/AIDS and/or gender specialist, in order to assist them in developing their own HIV/AIDS Policy and/or Gender Policy. NACSO is a good resource for this.*


**DISTRIBUTE:** Handout #16 and explain that this comprises a list of the various sections usually to be found in a conservancy Staff Policy document.



**2**  Divide participants into small groups, and allocate one Staff Policy document section listed in Handout #15 to each group (if there is only a small number of participants, each can be given a section to consider individually, or 2 or more sections). Each group should work together to identify a draft text for 'their' section, outlining policies and procedures (activities to implement policies) that they believe to be relevant to sound staff management in the conservancy context (and based on their own experiences, as appropriate). **NB:** This activity may take some time.

In a plenary session, each group should then share their draft Staff Policy section text with the other participants, who should be encouraged to provide their own inputs and comments. Write up each agreed-upon finalised section text summary in turn on a separate flipchart sheet, under the appropriate section heading. 


**3** **DISTRIBUTE:** A copy of an existing conservancy Staff Policy document for participants to look at while you read out the text of another copy, section by section (you may have to summarise somewhat if time is an issue), referring to the finalised section texts displayed on the flipchart sheets created in the last activity as you do so.

 Discuss the existing conservancy Staff Policy section texts in a plenary group, comparing each subset of policies and procedures against the text on the relevant flipchart sheet. Agree on any changes, omissions and additions as you go through the document and add them to the appropriate flipchart sheet in a different coloured pen.

**EXPLAIN:** The **Staff Policy document must reflect and deal with real life situations** that will arise in Namibian conservancies, both generally and within the context of the specific conservancy. There is no point including policies and procedures that will never have any relation to circumstances on the ground.


**4** **SUMMARISE/LINK:** In this topic we looked at the sections usually found in the conservancy's Staff Policy document; we have also worked together to come up with some policies and procedures for each section, using our own conservancy experiences to do so. Let's now quickly review what we have covered in this Topic 7 so that we can be sure that we have met the objective for this topic.

**ASK: What are the sections that should be covered in a 'Staff Policy' document?**

 Ask participants to identify the main sections of a 'Staff Policy' document and capture their responses on a flipchart sheet under the heading 'Key sections of the Staff Policy'. **NB:** Ensure that all the sections previously discussed are mentioned (not the content however but just the headings). Check the list against Handout #15 to make sure they have all been listed and add any that have been missed out. **NB:** Cover up the flipchart sheets from the previous activity before you do this one.



**ASK: How does having a Staff Policy document benefit the conservancy and staff?**

 Ask participants to offer their answers to this question and capture responses on a flipchart sheet under the heading: 'The Staff Policy: benefits to the conservancy and staff'.

Now we are going to move on to the topic of staff conflict management, and specifically disciplinary procedures and the grievance procedure. Does anyone have any questions before we move on to Topic 8?

**TRAINER'S NEXT STEPS:**

*In the event that some (or all) participants at a particular workshop will need to begin drawing up a draft Staff Policy document on their return to their conservancies, the trainer will need to discuss with them – on a conservancy-by-conservancy basis – how this process should be taken forward. I.e., who writes up the draft Staff Policy document at each conservancy; when and how it will be reviewed, revised and approved by the CC; and how the final version should be communicated to staff.*



## TOPIC 8: Conflict management: disciplinary procedures; grievance procedure

**NOTE:** Please refer to the NOTE TO TRAINERS/FACILITATORS ON TRAINING TOPIC 1, 6, and 8 at the beginning of this Manual before training this Topic.

**NOTE:** This topic can raise much discussion so you will need to be mindful of time constraints. However, only move on to a new session within this topic when you are sure that the content you have just conveyed has been fully understood by all participants.

**1 EXPLAIN:** When staff members are doing their jobs properly, and the conservancy management is satisfied with staff performance, the conservancy management will not spend time, energy, money and resources dealing with managing staff issues and conflict. This is the ideal situation but in reality, wherever different people are working together, there will be times when conflict arises and has to be dealt with.

In the first instance, provided that the problem is not a very serious one (i.e., does not involve a criminal offence for example), the best strategy is usually to speak informally with the employee in question (or group of employees, as appropriate) to try to discover why (for example) an incident of misconduct took place, or why job-related performance is not of a satisfactory standard, or why his/her ability to do contracted tasks is compromised in some manner.

- It is very possible that in the course of such an informal discussion it becomes clear that the employee is not aware of his/her shortcomings, or their degree of severity.
- It may also become apparent that the supervisor is not aware of an individual's circumstances that are impacting on his/her ability to his/her job properly. For example, a woman may be the sole carer of a sick child or elderly relative – a situation that is impacting on her attendance temporarily.
- It may also transpire that, in fact, it is the staff member who has an issue with (for example) poor management, unfair working conditions, or another hostile colleague, as opposed to the employee being responsible for instigating conflict.

**2 EXPLAIN:** Dealing with different people who all have different living circumstances, needs and problems involves tact and understanding. It also requires that the supervisor(s) maintain confidentiality and a sense of proportion. Employing these skills will often diffuse a conflict situation before it escalates into a full-blown conservancy management problem. Holding regular team meetings and meetings with the whole staff complement are also effective – to both communicate information to staff so everyone gets the right



message, and for the staff to raise issues or matters that the CC might not be aware of. During these meetings areas of dissatisfaction can be raised and dealt with before they escalate into conflict situations and result in staff demotivation.

We will look again in more detail at counselling measures and dealing with grievances informally a little later in this Topic 7, when we look at staff incompetence (Session 3), and at the grievance procedure (Session 5).

### **Session 1: What is a conservancy's 'Disciplinary Code and Procedures' (DC&P)?** (*Approximately 2 hours.*)

**1** **EXPLAIN:** The CC is responsible for the maintenance of discipline, the promotion of a stable work environment, job security, and the fair and equal treatment of all employees, be they male or female, able bodied or having some form of disability. All levels of management will therefore maintain discipline when necessary.


1. The **'Disciplinary Code and Procedures' (DC&P) forms an integral part of the contract of employment between the conservancy and each employee.** It applies to all employees of the conservancy and is implemented, without exception, when disciplinary action is necessary, including the dismissal of an employee as a result of inappropriate behaviour, poor performance or inability to do the job.
2. The **purpose of the DC&P is to encourage good conduct amongst all employees,** which is to the advantage of – and for the safety of – each individual, as well as for the promotion of the conservancy's objectives. It is designed to promote and maintain the conservancy's standards and code of conduct, and is not just a tool to punish an employee.
3. When dealing with staff disciplinary cases, **it is necessary to comply with strict legislative procedures** to protect the interests of the individual(s) and the conservancy. Should a supervisor fail to do so, he/she may be liable for court proceedings and potential fines for the conservancy.

It is therefore recommended that if you need to instigate discipline procedures against your staff, you follow a DC&P (outlined below). Also seek advice and support from your local Labour Office should you have reached a stage of final warnings and/or dismissal. The Labour Office staff members are most helpful, especially if you involve them early in the case rather than getting them involved only once a decision has been taken and an individual informed of that outcome.

**2** **EXPLAIN:** Now we shall look at the three different categories of the DC&P. The first of these is **misconduct – where an individual does not behave in an acceptable manner.**




**Ask: What incidents have you had to deal with in the conservancy where a member of staff has done something unacceptable? How did you manage that situation?**

 In a plenary session, ask participants to talk about some situations they have had to deal with in the conservancy where an employee was accused of misconduct, and write out their responses on a flipchart sheet by briefly summarising the employee's misconduct behaviour in a column on the left of the flipchart sheet, and then writing out the action that was taken on the right-hand side. This may take some time. **NB:** Remind participants of the need to maintain confidentiality when discussing sensitive matters such as discipline.

**EXPLAIN:** The Participant's Manual goes into much more detail regarding the type of offences that might occur that fall into this category (the 'Schedule of Offences'). The Schedule provides a good guide for establishing whether an employee's behaviour warrants disciplinary action, and what type of action might be appropriate. The Schedule list is not exhaustive, so it can be added to if the CC thinks it appropriate to do so.

**3 EXPLAIN:** Now we shall look at the second of the DC&P categories: **incompetence – where an individual's job performance does not attain or maintain an acceptable standard.**

**Ask: Can you recall any incidents at your conservancy where an employee's work performance was not of an acceptable standard, i.e., they were incompetent in some respect? How did you manage that situation?**

 In a plenary session, ask participants to talk about some situations they have had to deal with in the conservancy where an employee's job-related performance was not of a satisfactory standard, and write out their responses on a flipchart sheet by briefly summarising the employee's incompetent behaviour in a column on the left of the flipchart sheet, and then writing out the action that was taken on the right-hand side. This may take some time. **NB:** Remind participants of the need to maintain confidentiality when discussing sensitive matters such as discipline.


**EXPLAIN:** The Participant's Manual goes into much more detail regarding types of work-related poor performance. (Please see the relevant section in the Participant's Manual).

**NOTE:** Depending on the circumstances of each and every misconduct or incompetence case, any of a number of **sanctions** may be applied to any breach of the DC&P (we will deal with these in Sessions 2 and 3).



- 4 **EXPLAIN:** Now we shall look at the last of the DC&P categories, which is **incapacity – where an employee is unable to carry out the duties s/he is contracted to undertake because of sickness or injury.**

**Ask: How does your conservancy deal with a situation relating to an employee who is unable to do his/her job properly due to sickness or injury?**

 In a plenary session, ask participants to talk about some situations they have had to deal with in the conservancy where an employee was unable to carry out his/her duties satisfactorily due to his/her health. Capture responses on a flipchart sheet under the heading: 'Incapacity'. This may take some time. **NB:** Remind participants that issues of confidentiality are especially important when speaking about a person's health status.

**EXPLAIN:** It is critical to remember that **incapacity may be caused by factors beyond the employee's control** and does not therefore really relate to discipline. However, since it does affect a person's ability to fulfil their contractual obligations, it does have to be addressed and therefore falls under the DC&P. If an HIV-related condition is the reason that someone not able to do their job to an acceptable standard, then the conservancy should refer to its HIV/AIDS Policy and follow it in that particular case. (**NB:** *The Participant's Manual goes into more detail on this issue and the following one.*)


## **Session 2: Dealing with employee misconduct** (*approximately 1 hour*).


1 **EXPLAIN:** There are a few **guiding principles we should keep in mind when dealing with employee misconduct**, and actions that may be taken in response to it:

1. Disciplinary action should, in the first instance, be educational, i.e., should point out what conduct is not acceptable. It should also be corrective, i.e., should be indicative of how conduct should be modified in the future.
2. Punitive action, i.e., giving final warnings or instituting a dismissal, should only be taken when earlier steps have proven ineffectual.
3. Similar offences committed in similar circumstances should be treated equitably through the application of similar penalties, i.e., the same treatment should be dealt to all employees.
4. Since every disciplinary system depends on human judgement, errors will occur and so an appeal system is an integral part of the code.



**Ask: What type of action (sanction) can the conservancy take against an employee who has done something wrong, i.e., been accused of misconduct?**

**2**  Ask participants to consider this question above. Draw a line down the centre of a flipchart sheet and write the heading 'Sanction' at the top of the left-hand column and 'Misconduct' at the top of the right-hand column. Participants should suggest forms of sanction, which you then write in a list in the left-hand column.

Once they have done this (and all the sanctions listed below have been supplied by them or added by you) they can then suggest which forms of misconduct a particular sanction should apply to. Record responses down the right-hand column, in line with the appropriate sanction. You should end up with a table that contains the information below in **bold type** (supply any not given by participants). 

**Sanction: reprimand (verbal warning)**

**Normally the sanction used for minor offences.**

Reprimands may be given to let an employee know that their conduct is not acceptable, and that if that conduct is repeated a written warning may follow. Reprimands are given verbally, but it is advisable to record that a verbal warning has been given by using a 'Reprimand Note' form (a template is provided in the Participant's Manual).

**Sanction: written warning**

**Normally the sanction used for first offences involving, amongst others: a.) absenteeism and lateness; b.) disobedience and related offences; and c.) abuse of alcohol and related substances.** (Any of the offences mentioned in the Participant's Manual 'Schedule of Offences' may also warrant this sanction if the misconduct is considered to be serious enough.)

A written warning may be given for repetition of a minor offence; it is normally the initial sanction if the offence is of a more serious nature. A written warning shall remain in force for a period of six months and must be documented in the employee's staff file. Again there is a template 'Written Warning' form in your Participant's Manual.

**Sanction: final warning**

**These may be given when: a.) an offence is repeated while a written warning is in force; b.) in circumstances where summary dismissal is not appropriate; or c.) for first offenders involved in major offences** (such as dishonesty; theft; fraud; corruption; assault; violence or threats of violence; abuse or misuse of conservancy property; or those related to the workplace, co-employees or the property of the conservancy).





Prior to giving a final warning, the CC shall first give the employee an opportunity to defend him/herself against the complaint/allegation. In appropriate cases, this may include the presentation of oral and/or written evidence. All reasons advanced by the employee must be carefully recorded and the CC's reasons for their decision must be similarly recorded. A final warning shall remain in force for a period of six months from the date of issue. (There is a template 'Final Warning' form in your Participant's Manual.)

**Sanction: alternative sanctions to summary dismissal**

**Where misconduct is serious enough to warrant summary dismissal** (but this sanction is not thought appropriate in the specific circumstances) the following alternatives may be considered:

- Suspension with or without pay;
- A reduction in benefits;
- Demotion;
- A transfer from one position to another.

**Sanction: summary dismissal**

**Used:**

- **When other forms of disciplinary action have failed and the employee has been given a final warning;**
- **When an employee, on a final warning, commits a serious/major offence;**
- **Where the offence committed amounts to a breaking of the employee's contractual obligations;**
- **For first offenders, where there is major misconduct (dishonesty; theft; fraud; corruption; assault; violence or threats of violence; intoxication; abuse or misuse of conservancy property; or related to the workplace, co-employees or their property or conservancy property);**
- **Where there is continued or regular absence from work, without permission or without good reason, continued disobedience, or repeated abuse of alcohol and/or substances that affect the employees' work performance.**

**EXPLAIN:** In summary, the normal procedure for the issuing of sanctions is (you may prefer to write this on a flipchart sheet, or prepare it in advance as Flipchart Sheet #3):



**Summary of procedure for issuing sanctions for misconduct:**

1. Reprimand (verbal warning), *then*
2. Written warning, *then*
3. Final warning, *then*
4. Dismissal (or an alternative sanction).

However the conservancy can decide to go straight to a final warning or even dismissal if it is decided the misconduct was serious enough to deserve such action.

**3 EXPLAIN:** In appropriate cases:

1. In addition to any sanction imposed, an employee can be ordered to **compensate the conservancy for loss(es) caused because of conduct** that the employee has been found guilty of at a disciplinary inquiry.
2. An employee has the right to terminate their contract of employment without giving the required notice to the employer, **provided s/he pays the employer a levied fine**. Failure to provide sufficient notice (as per the employee's contract) of the termination of a contract can result in a fine levied on the employee by the conservancy for the appropriate amount (i.e., if the notice period is one month, the fine levied would be equal to one month's pay.)
3. Should the CC come to the point of considering dismissing an employee, it is essential that the conservancy has followed and recorded all the procedures up to that point. It must also legally comply with the required steps **otherwise the Labour Commissioner could decide against the conservancy** if an employee took his/her case to the Labour Office.

**4 EXPLAIN:** Now let's look at **procedures for dismissal in cases of major misconduct**. Prior to the dismissal of an employee, for any reason whatsoever, an inquiry shall be held to determine:

- Whether the conduct complained of actually took place; and
- The appropriate sanction to be imposed having considered all the circumstances of the offence and the employee him/herself.

(Please see your Participant's Manual for details of appropriate procedures for conducting an inquiry prior to dismissal in cases of major misconduct.)



**5** **EXPLAIN:** The inquiry shall be kept as informal as possible and shall remain confidential unless otherwise agreed to by the parties. **Certain principles shall be applied to all such disciplinary inquiries relating to dismissal** and are there to test the employee's evidence (see your Participant's Manual for further details of these principles). **NOTE:** If there is any doubt, the benefit of the doubt will be given to the employee. In addition:

- If there is no evidence to support the charges or a lesser charge, the employee shall be discharged from the inquiry and the proceedings closed.
- If the evidence is sufficient to support an alternative charge and not the original charge, then it shall be acceptable for the employee to be found guilty of that alternative charge.
- When ruling on the charge, the Presiding Officer must give the full reasons for the decision made. Similarly, full reasons for the sanction imposed must be given.
- If the employee is found to have committed the offence, he/she shall then be allowed to give evidence in mitigation.
- The Presiding Officer may postpone the proceedings to consider the actual sanction before arriving at his/her decision.
- Minutes must be taken and kept of all inquiries.
- The conservancy shall be entitled to suspend any employee, pending the holding and/or outcome of an inquiry to determine whether or not that employee should be dismissed, provided that the employee's salary is not deducted for the period of suspension.

**6** **EXPLAIN:** Now let's look briefly at **the right of appeal in cases of major misconduct where a final warning or decision to dismiss has been made.**

Every employee shall have the right of appeal against any final warning or decision to dismiss him/her for breach of the DC&P. (More details can be found in your Participant's Manual.)

- An employee must appeal in writing (see template 'Appeal Notice' in your Participant's Manual for guidelines) within three days of such a decision.
- In the case of an appeal against a dismissal, the appeal shall be held within seven days of the employee notifying the CC that s/he intends appealing.
- In the case of an appeal against a final warning, such appeal shall be held within 30 days of such a warning having been given.



- 7 **EXPLAIN:** We have now finished looking at sanctions that can be taken by the conservancy in instances of employee misconduct, how those sanctions are decided, and the appeals process. Before we move on to the subject of incompetence, does anyone have any questions?

### Session 3: Dealing with employee incompetence (*approximately 1 hour*).

1 **EXPLAIN:** No employee should be dismissed because of his/her **unsatisfactory performance**, unless he/she was informed of the fact that his/her performance was unsatisfactory previously, and thereafter failed to remedy the situation within a reasonable period of time. If an employee's performance is unsatisfactory he/she should first be counselled by his/her immediate superior as to what s/he is doing that is not acceptable, and what must be done to correct the situation. This **initial verbal counselling should be done informally**. Informal counselling should be used for the following:

- Poor work performance – where the performance of the employee falls short of what can reasonably be expected of him/her;
- Carelessness and/or casual approach to the job;
- Lack of motivation to do the job properly;
- Loafing/laziness – the failure to perform a task within a reasonable period of time;
- Failure to carry out and complete instructions.

Depending on the complexity of the problem, further counselling may take place on a formal basis to help the employee recognize where they need to improve and how.

1. However, if the problem is one which could have been easily remedied and was not, then the CC shall issue a 'Performance Improvement Notice' (see Participant's Manual for a template).
2. If the employee has not improved in the given period, a final warning 'Unsatisfactory Performance Notice', (see Participant's Manual for a template) can be given.
3. In more serious matters, initial counselling will not be necessary and a 'Performance Improvement Notice' may be issued as a first step.

2 **EXPLAIN:** Under certain circumstances (see Participant's Manual for full details) it will be necessary to **subsequently instigate an inquiry into employee incompetence**. An inquiry will be held or ordered by the CC along the same lines as that preceding a final warning/dismissal (mentioned in the Session 2 earlier). The appeals procedure is also the same.



**If an employee fails to take the necessary action required of them** within the time period stipulated in the final warning; or if the action taken by the employee falls short of what is required and is therefore not acceptable; or if any employee who has been given a final warning performs badly in another area, then an inquiry shall be held to determine:

- Whether this has actually occurred;
- Whether there is any good or acceptable explanation for their failure to take action to improve unsatisfactory performance;
- Whether there is any reason why the employee should not be dismissed by virtue of his/her having failed to perform properly.

3

**EXPLAIN:** In summary, the normal procedure for dealing with staff incompetence is (*you may wish to write this out on a flipchart sheet, on prepare it in advance as Flipchart Sheet #4*):

**Summary of procedure for issuing sanctions for incompetence:**

- **Provide verbal counselling/coaching and inform the employee that he/she must improve within a given timeframe, then if there is still no improvement –**
- **Issue a ‘Performance Improvement Notice’ (which will outline the timeframe for improvement), then if there is still no improvement –**
- **Issue a ‘Final Warning - Unsatisfactory Performance’ (which will similarly outline the timeframe for improvement), then if there is still no improvement –**
- **Hold an inquiry to consider dismissal.**

**EXPLAIN:** It is important to remember that if, at any stage, the **employee does improve**, he/she must be told that they are now working to an acceptable standard and the process is then ceased. Also:

- The timeframe for improvement will depend on what is reasonable, i.e., will the incompetent behaviour be easy to rectify over a short period of time, or will it require a significant period of time to address the employee's shortcomings?
- Keep good records of what has been done and when.



## Session 4: Dealing with employee incapacity (*approximately 30 minutes*).

### 1 **EXPLAIN:** No employee shall be dismissed because **of his/her incapacity to perform their work unless:**

- Such incapacity has been factually established, and
- There is no possibility of the employee taking, or being offered, an alternative position.

**NOTE:** If the circumstances are HIV-related, the conservancy's HIV/AIDS Policy must be followed.

1. When it appears that an employee may no longer be able to carry out his/her work, the matter must first be discussed in order to ascertain the reasons behind this, and to advise him/her of the CC's views. If the employee offers an acceptable explanation, for example by showing that the incapacity is temporary and short-term (i.e., a letter from a doctor), the matter need not be taken further.
2. If this is not the case, then the CC can insist the employee be examined by a medical expert. More details on this may be found in your Participant's Manual.
3. In each case of dismissal, consideration must be given to the question of a service bonus.

**DISTRIBUTE:** A copy of an existing conservancy Staff Policy and refer participants to the 'Disciplinary Code and Procedures' (DC&P) part of the document.

### 2 **EXPLAIN:** In summary, the normal procedure for dealing with staff incapacity is (*you may wish to write this out on a flipchart sheet, or prepare it in advance as Flipchart Sheet #5*):

**Summary of procedure for dealing with employee incapacity (i.e., the employee is seriously sick or injured and unable to work):**

- **Meet with employee to discover nature of incapacity.** If it is only a short-term incapacity, the conservancy makes a plan on how to cover the job in the interim.
- **If incapacity is likely to be permanent or long term, employee is requested to get a medical report (the conservancy pays for this).**
- **If medical report says incapacity is permanent or long term, CC holds an Inquiry to discuss the evidence and decide on what to do.**
- **If the employee is to be dismissed it would be standard practice to pay a service bonus (if employed longer than 12 months).**
- **All the steps and decisions throughout the process must be recorded and filed.**



## Session 5: The grievance procedure (approximately 30 minutes).

- 1 **ASK:** Participants to think about what happens in their conservancy if a member of staff has a complaint about a person, or a procedure, or an activity that he/she is unhappy about? Who do they go to? How is it handled?

**EXPLAIN:** A **grievance is any serious dissatisfaction or feeling of injustice affecting an employee** that arises out of his/her work situation.

- The purpose of establishing a grievance procedure is to enable the conservancy to promote high morale and satisfaction among employees.
- The grievance procedure is not applicable to grievances that can (and should) be resolved informally.
- The intention of the conservancy and its employees ("parties") is that grievances will be resolved at the earliest stage possible and as speedily as possible. Employees may lodge valid grievances without any prejudice whatsoever to their employment.
- Instead of the stages and the time limits stated in the formal procedure, the parties may mutually consent to deal with grievances more quickly.

2 **EXPLAIN:** There are three stages to the grievance procedure:

1. The employee(s) **puts in writing the cause of the grievance** (in a letter, or using the template form in the Participant's Manual), clearly stating the essential allegations and the desired solution. This is then submitted to the CC. The CC will nominate an individual to deal with the case on their behalf for the next stage of the process. The employee may approach a fellow employee to obtain guidance and/or assistance with completing the grievance letter/form.
2. The CC nominee shall then **attempt to resolve the grievance within five full working days of the grievance being received**. If a solution is reached and accepted by the employee(s), the aggrieved employee(s) shall put in writing that they accept the agreed solution. If a satisfactory solution is not reached within five working days, the CC nominee will record the failure to reach a solution together along with the reasons for such failure, and will then refer it to the Chairperson/CC.



3. The CC will **then convene a gathering of all concerned at its next meeting following receipt of details of the grievance.** In addition to the parties concerned with the grievance, a fellow employee shall be entitled to attend the meeting, and to represent the aggrieved employee(s). Should the parties fail to reach a settlement at that meeting, the failure and the reasons for it shall be recorded in the minutes of the meeting. Those minutes shall be signed by the aggrieved employee(s), and the Chairperson. Failure to reach a settlement at this level will constitute a dispute, which can be submitted for mediation by either of the parties within seven days. The case would then have to comply with the disputes procedures of the *Labour Act*.

**3 SUMMARISE/LINK:** In this topic we have looked at how, by having sound informal conflict resolution procedures in place and ensuring that these are followed sensitively and fairly, a conservancy can minimise the chance of serious disputes arising in the workplace. We then discussed the 'Disciplinary Code and Procedures' and how it is used to settle more serious conflicts in the conservancy workplace (in cases of misconduct, incompetence and incapacity). Finally, we discussed the grievance procedure that can be used when the employee has a complaint.

In the final topic of this training we are going to look at the process of drawing up a conservancy Action Plan to implement staff management policies, procedures and tools, but first let's just check that we all feel that we have covered the eighth objective for this workshop (*refer back to the first flipchart sheet – or prepared Flipchart Sheet #1*). Does anyone have any questions before we move on to the last topic?





## TOPIC 9: Development of action plans

**NOTE:** The Step 6 activity that comprises most of this Topic 8 training will vary a little depending on the make-up of the workshop participants. **If all the participants come from one conservancy, they can all work together on a single Staff Management Action Plan.** If participants come from a number of different conservancies they must work together in separate 'conservancy groups' to come up with a Staff Management Action Plan for their own individual conservancy.

**1** **EXPLAIN:** We have looked at eight topics during the course of this workshop and at the end of each we have reviewed our progress towards achieving the relevant objective(s). (Display Flipchart Sheet #1 and discuss again briefly together if necessary.)

**2** **ASK:** Which of the following do you already have in place at your conservancy? (You may prefer to write out the list below in advance as Flipchart Sheet #6). Capture responses on the flipchart sheet by adding one tick ( ✓ ) next to each category of document/system on the list for each conservancy represented at the workshop that DOES have it in place.

- **Written job descriptions for all posts/some posts/a few posts.**
- **Written guidelines and formats for job vacancy advertisements.**
- **Formal contracts of employment for all staff/some staff/ a few staff members.**
- **A formal system for staff appraisal.**
- **A Staff Policy document outlining policies and procedures for staff management.**
- **A 'Disciplinary Code and Procedures' for dealing with serious staff conflicts.**

**3** **ASK:** Which documents/systems that we have just looked at together on the flipchart sheet does your conservancy NOT yet have in place? Capture responses on Flipchart Sheet #6 by adding one cross ( ✕ ) next to each category of document/system for each conservancy represented at the workshop that DOES NOT have it in place.

**4** **ASK:** What priority would you give to the documents/systems that we have just looked at together that your conservancy does NOT yet have in place? Capture responses on Flipchart Sheet #6 by adding a number to each category of document/system for each conservancy represented at the workshop that DOES NOT have it in place. I.e., for every conservancy that does not yet have a Staff Policy document in place and considers it to be their top priority, place a number '1' next to it on the list.



**5 EXPLAIN:** Let's look at how we can **convert the priorities for our conservancy in respect of staff management documents and systems into a Staff Management Action Plan** for us to take back to our conservancy to discuss and eventually implement there. *(Draw out the template below – Flipchart Sheet #7 – and discuss briefly together if necessary.)*

Let's first work through an example by saying that an imaginary Nawa Conservancy has identified 'Introduce a staff appraisal system' as its top priority issue. We can now work together to complete the details of this page of its Staff Management Action Plan.

Staff Management Action Plan, OUTCOME #1: <i>Introduce a staff appraisal system</i>				
Period	.....	Conservancy:		Nawa Conservancy
Activity	Action Officer	Start date	End date	Comments

**Ask: What specific step-by-step activities need to happen to put Objective 1 in place?**

➔ Participants should suggest some activities that would be necessary in order to set up a formal staff appraisal system at the imaginary Nawa Conservancy (do not write these up on the flipchart template just yet). Once a number of activities have been identified by participants, ask them to suggest in what order they should be carried out. Only write these up on the flipchart template once a consensus on the logical ordering has been achieved.



**Ask: When must the activities be implemented, and who will be responsible for each activity?**

➔ Participants should suggest a timescale for the activities that would be necessary in order to set up a formal staff appraisal system at the imaginary Nawa Conservancy, and also who should be responsible for carrying them out. Write up suggestions on the flipchart template.

6 **DISTRIBUTE:** Handout #17, the 'Staff Management Action Plan' template (you will need to make **six copies of this at least** for each conservancy represented at a training workshop).

➔ If **all the participants at a workshop come from the same conservancy**, then divide them up into a number of groups (or even individuals if the number of participants is small) according to how many staff management documents/systems were identified as being absent at their conservancy during Step 3, above. I.e., if five categories on Flipchart Sheet #6 were identified as missing at their conservancy, then divide the conservancy's participants into five groups. Each group should make sure to identify the priority of 'their' category on their copy of the 'Staff Management Action Plan' template, and then discuss together a list of activities (in a logical sequence) as well as a timeframe and person responsible, and then write these out in pencil on the template once consensus has been reached.

If **the participants at a workshop come from a number of different conservancies**, then divide them up into conservancy groups and give each group enough 'Staff Management Action Plan' template sheets to be able to complete a page for each staff management document/system identified as being absent from their own particular conservancy during Step 3, above. Each group should make sure to identify the priority of each of the components on the relevant sheet of the 'Staff Management Action Plan' template, and then discuss together a list of activities (in a logical sequence) as well as a timeframe and person responsible, and write these out in pencil on the template sheet in question once consensus has been reached. ➔

**NOTE:** Circulate around the participant groups as they carry out this activity and provide inputs where requested or where they are obviously necessary.

7 **EXPLAIN:** We have worked together in our groups to draw up draft Staff Management Action Plan pages for our conservancy. Let's now collaborate to share ideas on how we can improve on our drafts and finalise them.





Each group should share the contents of their Staff Management Action Plan page(s) with the other participants in order to get ideas on how improvements and additions might be made. **(NB:** As this is a collaborative exercise, and its outcome is important, this activity may take some time to complete). Once this has been done, groups can work in pen to complete a best copy of the page(s) in question.

8

**EXPLAIN:** Your conservancy Staff Management Action Plan will be the basis for support during the Technical Assistance phase of conservancy development. The level of commitment you bring to actually making the Action Plans happen is therefore very important indeed as eventually a Donor Report will be prepared indicating how well your training has been applied by the conservancy.

9

**SUMMARISE/LINK:** In this final topic we have looked at the Staff Management Action Plan, which describes how we plan to implement good staff management in the conservancy, what our conservancy priorities are in this regard, and the actions we need to take. We also noted how committed we need to be in respect to applying what we have learned over the last few days.

Let's just check that we all feel that we have covered the last objective for this workshop (*refer back to the first flipchart sheet – or prepared Flipchart Sheet #1*). Does anyone have any questions before we undertake a short and informal self-assessment activity?



## **SELF-ASSESSMENT: Assessing participants' understanding of this Module**

Handout #18 comprises a set of questions based on this Module and designed to evaluate the knowledge and skills that participants receiving this training have acquired. It is not intended as a formal test but is meant to help participants assess areas where they have sound knowledge and strong skills, and areas that require further work.

You can either use the questions as the basis of a plenary session with all the participants, or – if more suitable – ask them to write their answers out on some paper that you will provide for the purpose.

Although it will help you personally to modify your training approaches should you be able to discuss their answers with participants, they should not feel compelled to share their responses with you. If they are willing to share their responses, either collectively or individually, then use the information that you gather to assess your own training skills. Also note from participants' responses where these printed training materials might require amendment, for example, if an activity or section of the text is proving problematic.



## List of Handouts that you should make available for this Module

MODULE 1.11, HANDOUT #1: 'Certificate of Employment' (template)

MODULE 1.11, HANDOUT #2: 'Job Description' (template)

MODULE 1.11, HANDOUT #3: 'Job description' (example)

MODULE 1.11, HANDOUT #4: 'Job Description' (example: Treasurer)

MODULE 1.11, HANDOUT #5: 'Job Description' (example: Secretary)

MODULE 1.11, HANDOUT #6: 'Job Description' (example: Conservancy Manager), 2 pages

MODULE 1.11, HANDOUT #7: Job advertisement (example)

MODULE 1.11 HANDOUT #8: Overview of the recruitment and selection process

MODULE 1.11, HANDOUT #9: 'Contract of Employment' (template), 3 pages

MODULE 1.11, HANDOUT #10: 'Personal Review' form (template)

MODULE 1.11, HANDOUT #11: 'Staff Appraisal' form (template), 3 pages

MODULE 1.11, HANDOUT #12: Performance factors

MODULE 1.11, HANDOUT #13: 'Staff Appraisal' form (example: Conservancy Manager), 2 pages

MODULE 1.11, HANDOUT #14: 'Staff Appraisal' form (example: Treasurer), 2 pages

MODULE 1.11, HANDOUT #15: 'Staff Appraisal' form (example: Secretary), 2 pages

MODULE 1.11, HANDOUT #16: Conservancy 'Staff Policy' document typical structure

MODULE 1.11, HANDOUT #17: 'Staff Management Action Plan' (template), you will need to make six copies of this at least for each conservancy represented at a training workshop

MODULE 1.11, HANDOUT #18: *Self assessment evaluation for participants*

All Handouts are one page only, unless otherwise specified. Please make sure that you make enough copies for each trainee.

Make sure that you also bring, for demonstration purposes:

- A copy of the NACSO-CESP document, 'A Guide to the Labour Act'
- A copy of the *Labour Act No11* of 2007
- Copies of newspapers containing job vacancy advertisements
- Two copies of an existing conservancy Staff Policy document



NOTES



