ADB

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Viet Nam: Technical Training Manuals for Microfinance Institutions in Vietnam

Basic Course in Human Resource Management

Asian Development Bank

Training Manual for Microfinance Institutions

HUMAN RESOURCE MANAGEMENT

COURSE OUTLINE

<table>
<tr><td>Course Name</td><td colspan="2">HUMAN RESOURCE MANAGEMENT (HRM) FOR MICROFINANCE INSTITUTIONS (MFIs)</td></tr>
<tr><td>Target Participants</td><td colspan="2">Managers, Branch Managers, Human Resource Managers, Senior Staff involved in HR activities</td></tr>
<tr><td>Course Duration</td><td colspan="2">2 days</td></tr>
<tr><td>Learning Objectives</td><td colspan="2">At the end of the course, participants are able to:
1. Explain the importance of HRM in contributing to the success of MFIs;
2. Cite and explain the core functions/activities of HRM; and
3. Participants will be able to identify the roles and responsibilities of HR professionals in setting up employees for success</td></tr>
<tr><td rowspan="2">Course Outline</td><td>Day 1:
• Opening Activities
  ○ Welcome Remarks
  ○ Introductions: Trainer, Guests, and Participants
  ○ Project Overview
  ○ Leveling of Expectations
  ○ Training Objectives and Agenda
  ○ House Rules
• Overview of HRM</td><td>• Recruitment and Selection
  ○ Definition and Importance
  ○ Hiring Decisions
  ○ Considerations and Issues
• Performance Management
  ○ Definition and Importance
  ○ Performance Management Cycle
  ○ Responsibilities of Employees, Manager, HRM</td></tr>
<tr><td>Day 2:
• Compensation and Benefits
• Training
  ○ Compensation
    ▪ Definition and Importance
    ▪ Factors Influencing Compensation
    ▪ Creating Salary Structure
  ○ Benefits
    ▪ Types of Benefits
    ▪ Advantages
    ▪ Benefits suited for MFIs
  ○ Incentives and Rewards</td><td>• Training and Development
  ○ Definition and Importance
  ○ Benefits of Training and Development
  ○ Identifying Training Needs
  ○ Providing Training and Development
• The HR Professional
  ○ Strategic Partner
  ○ Administrative Expert
  ○ Employee Champion
  ○ Change Expert
• Closing Activities
  ○ Evaluation
  ○ Closing</td></tr>
<tr><td>Delivery Methods</td><td colspan="2">Lectures; Plenary; Small Group Discussions; Role-Plays; Exercises; Post-Training Tests</td></tr>
<tr><td>Materials Needed</td><td colspan="2">Computer, LCD Projector, Flipcharts, Stands, Meta Plan/Index Cards, Paper, Pens, Tapes, Prizes, Stapler, Paper Clips, Training Kit (Agenda, PPT Presentations, Notepad, Pens, ID)</td></tr>
<tr><td>Handouts</td><td colspan="2">See list…</td></tr>
</table>

INSTRUCTIONAL DESIGN AT A GLANCE

Part I	OPENING ACTIVITIES	
Session	1	Introductions
Activity	*1*	*Registration, Welcome Remarks, and Introductions*
Activity	*2*	*Leveling of Expectations*
Activity	*3*	*House Rules*
Part II	THE HUMAN RESOURCE MANAGEMENT SYSTEM	
Session	1	Overview of Human Resource Management (HRM)
Activity	*4*	*Definition and Importance of HRM*
Activity	*5*	*Stop, Think, and Do: Successful Employees in MFIs*
Activity	*6*	*The HRM Model*
Activity	*7*	*Application of HRM Practices*
Session	2	Recruitment and Selection
Activity	*8*	*Definition of Recruitment and Selection Processes*
Activity	*9*	*Stop, Think, and Do: Hiring Decisions*
Activity	*10*	*Stop, Think and Do: Steps in the Recruitment and Selection Process*
Activity	*11*	*Stop, Think, and Do: Job Descriptions*
Activity	*12*	*Stop, Think, and Do: Interviewing Candidates*
Activity	*13*	*Stop, Think, and Do: Conducting Orientation for the Staff*
Session	3	Performance Management System
Activity	*14*	*Definition and Importance of PMS*
Activity	*15*	*Stop, Think and Do: Setting SMART Objectives*
Activity	*16*	*Stop, Think and Do: Performance Appraisal*
Activity	*17*	*Stop, Think and Do: Responsibilities of Employees, Managers, & HR Officers*
Session	4	Compensation and Benefits
Activity	*18*	*Definition and Importance of Compensation*
Activity	*19*	*Stop, Think and Do: Importance of Compensation*
Activity	*20*	*Creating Salary Structure*
Activity	*21*	*Stop, Think and Do: Benefits*
Session	5	Training and Development
Activity	*22*	*Definition of Training and Development*
Activity	*23*	*The Training Cycle*
Session	6	The Human Resource Professional
Activity	24	*Roles and Responsibilities*
Part III	CLOSING ACTIVITIES	
Session	1	Wrap Up and Evaluations
Activity	*25*	*Evaluation*
Activity	*26*	*Closing*

HANDOUTS

1 Job Description Template	5 Orientation Checklist	9 Sample Training Needs Analysis Sheet
2 Application Form	6 Key Result Areas Form	
3 Sample Interview Form	7 Officer Appraisal Form	10 External Evaluation Form
4 Recruitment Selection Checklist	8 Individual Development Plan	

INSTRUCTIONAL DESIGN SCRIPT

PART I	**OPENING ACTIVITIES**	
SESSION 1	**INTRODUCTIONS**	
Activity 1	Registration, Welcome Remarks and Introductions	
Purpose	• To register the participants and distribute the training kit. • To introduce the ADB/JFPR-SBV Project, the guests, trainers and participants.	
Objectives	By the end of the activity, the participants are able to: • Receive complete set of training kit. • Know the project, host organizations, guests, trainers, and participants.	
Time	**Materials**	**Steps/Method:**
30 minutes	Attendance Sheet Training Kit:: - Agenda - Notepad - Pen - ID - Training Material	Registration: 1. The support staff facilitates the registration of the participants and the distribution of training kits at least 30 minutes before the start of the training. 2. The support staff checks completeness of the contents of the training kits with the participants. 3. The support staff ensures participants write their names on the IDs and wear the IDs at all times during the training. 4. The support staff ensures all equipment, facilities, supplies and materials required for the training are available.
Time	**Materials**	**Steps/Method:**
10-15 minutes	Brief profile of host organizations and guests	Welcome Remarks: *Speech* 1. The Training Coordinator introduces the host organizations (SBV, ADB, JFPR, ADB Consultants, etc.) and guests (if any). 2. The host organizations and guests deliver their welcome remarks.
	Brief profile of the trainers	Introduction of the Trainers: *Speech* 1. The Training Coordinator welcomes and introduces the trainers (the lead trainer and co-trainers, if any). 2. The Training Coordinator gives the floor to the lead trainer to start the training.
	Profile of the Participants, Registration Sheet, Computer, Slide Presentations, Flipcharts, Stands, Pens, Papers, Tapes, LCD Projector	Introduction of the Participants: *Plenary; Small Group Discussions* 1. The lead trainer welcomes the participants. 2. The lead trainer asks the participants to create five groups using their seat arrangements. 3. The lead trainer asks the participants to introduce themselves to the groups, identify a representative of each group, and summarize the points – names, positions, and organizations – in 5 minutes. 4. The lead trainer asks the representatives of the groups to describe the members of the group to the rest of the participants.

		5. The lead trainer acknowledges each participant and welcomes them to the training. 6. When all groups have presented, the lead trainer thanks the participants and moves to the next activity.

PART I	**OPENING ACTIVITIES**	
SESSION 1	**INTRODUCTIONS**	
Activity 2	**LEVELING OF EXPECTATIONS**	
Purpose	• To determine what are the participants’ expectations from the training. • To validate whether these expectations can be met by the training.	
Objectives	By the end of the activity, the participants are able to: • Present their motivations and expectations from the training. • Know the course agenda and validate coverage of their expectations with the trainers. • Identify items or issues that cannot be covered by the training.	
Time	**Materials**	**Steps/Method:**
20-30 minutes	Computer, PPT Slide 2, Paper, Pens, Flipchart for “Parking Lot”, Stands, Tapes, LCD Projector PPT Slide 4-7	<u>Group Activity</u>: *Slide Presentation; Small Group Discussions; Plenary* 1. The support staff provides sheets of paper and pens to the participants. 2. The lead trainer asks the participants to respond to the following questions written on the slide and to write their answers on the sheets of paper: • *What do you hope to gain from this training/seminar?* • *What are you willing to give to have a meaningful session?* • *What do you expect from the facilitators?* 3. The lead trainer asks the group representative to share with other groups their outputs. 4. The lead trainer summarizes the participants’ motivations and expectations from the training. <u>Training Objectives and Agenda</u>: *Slide Presentation* 5. The lead trainer presents the training objectives and agenda to the participants and validates expectations that can be covered by the training. 6. The lead trainer also identifies items that cannot be covered, if any, and places them to the “Parking Lot”. *Note: The Parking Lot is a place where the trainer can write issues, items or any concern that is covered by the training. This is visited at the end of the training to determine whether items have been covered or need to be discussed in other venue.* 7. The lead trainer summarizes the participants’ outputs and asks the participants for more inputs or questions. 8. When there are no more questions, the lead trainer thanks the participants and moves to the next activity.

PART I	OPENING ACTIVITIES	
SESSION 1	**INTRODUCTIONS**	
Activity 3	**HOUSE RULES**	
Purpose	To ensure that the participants get the optimum learning from the course.	
Objectives	By the end of the activity, the participants are able to: • Define and agree on appropriate behaviors for the duration of the training. • Define and agree on appropriate penalties for violations of the house rules.	
Time	**Materials**	**Steps/Method:**
5-10 minutes	Flipcharts, Stands, Pens, Tapes	*Plenary* *1.* The lead trainer asks the participants what could help them achieve optimum learning from the training and lists them on a flipchart. *2.* The lead trainer may initiate discussions by providing standard or frequently mentioned house rules. Such house rules may include: *coming on time, turning off or placing on silent mode the mobile phones, participating actively, respecting others, etc.* 3. The lead trainer verifies acceptability of the responses with the participants by asking them to agree on each item. 4. When there are no more additions, the lead trainer shares his expectations if not yet covered by the listed items. 5. The lead trainer thanks the participants and closes the session by asking the participants to be always reminded of the house rules for the duration of the training. 6. The lead trainer posts the flipchart to the wall and moves to the next activity. *Note: Having completed the introductions, the expectations and the house rules, the participants are now ready to start with the main topics in the course.*

PART II	THE HUMAN RESOURCE MANAGEMENT SYSTEM	
Session 1	**Overview of HRM**	
Activity 4	**Definition and Importance of HRM**	
Purpose	**To introduce the definition and importance of HRM to the participants.**	
Objectives	By the end of the activity, the participants are able to: • Define HRM and its contribution to the success of MFIs. • Identify the challenges that they face in HRM and some methods to address these challenges.	
Time:	**Materials:**	**Steps/Method:**
20 minutes	Flipcharts, Stands, Pens,	*Plenary* 1. The lead trainer asks the participants about their understanding of HRM. The co-trainer lists responses in

	Tapes, PPT Slide 8-12, Computer, LCD Projector	a flipchart. *2.* The lead trainer validates the participants' responses with the definition of HRM and the description of primary activities of HRM written on the slides. The lead trainer emphasizes to the participants that: "*The functional responsibilities are influenced by both internal (vision, mission, culture, values) and external (laws, regulations, social and economic issues) factors."* 3. The lead trainer then asks the participants about the challenges that they are facing in HRM in each of the activities earlier described. 4. The co-trainer lists the responses in the flipcharts and places them on the board for the groups to see. *5.* The lead trainer summarizes the participants' responses on the challenges and highlights the importance of addressing these challenges to ensure success of the MFI. The lead trainer emphasizes to the participants that: "*More than just effective employees, HRM's challenge is to produce highly competent and committed individuals to help the organization achieve its objectives and deliver results.* 6. The lead trainer closes the session with the slide on the importance of HRM. The lead trainer emphasizes to the participants that: *"Though financial issues are important, without people handling them effectively and efficiently, the business will fail. By building strong and well-functioning HRM unit, the institution is poised for growth, ready to face and manage the challenges of a changing environment, and responsive to the needs of the clients."* 7. The lead trainer asks the participants if they have more comments or questions. If there is none, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 1	**Definition and Importance of HRM**	
Activity 5	**Stop, Think and Do: Successful Employees in MFIs**	
Purpose	**To provide insights on how employees can become successful in respective MFIs.**	
Objectives	By the end of the activity, the participants are able to: • Share insights on how they can become successful in their MFIs.	
Time:	**Materials:**	**Steps/Method:**
30 minutes	Timer, Meta Plan Cards, Pens, Tapes, Flipcharts, Stands,	*Exercise; Small Group Discussions, Plenary* 1. The lead trainer asks the participants to form four small groups and discuss within 10 minutes in their groups their answers to the question: "*How can employees become successful in your MFI?"* 2. The lead trainer also asks the groups to write their

	Computer, PPT Slide 13-16 , LCD Projector	responses in the meta plan cards, one response per card. 3. The co-trainer checks the groups to ensure that they are clear on the instructions and can finish within the time set. 4. At the end of 10 minutes, the lead trainer asks the groups to place their responses on the board. 5. The lead trainer consolidates the responses by clustering similar responses, summarizes the responses, and affirms the participants' responses with what employees need to become successful in MFI written on the slide. The lead trainer emphasizes that all employees need to be able to: • *Identify with the MFI's mission and values* • *Be clarified about their role, functions and responsibilities and how these contribute to the mission of the MFI* • *Know what is expected of them* • *Have the capacity, resources, and environment that encourages and promotes success* • *Receive constructive feedback, encouragement, and opportunities to learn, develop and grow* Further, the lead trainer emphasizes that: *"HR should help employees become successful. In order for HR to do this, it should have a strategic role in the organization and have the support from top management. MFI's leadership including the Board and senior management must fully endorse, adhere to and practice HRM functions. This means not only verbally supporting HRM initiatives but more importantly, actively adopting and using the systems and tools. If this is the case, then HRM would have a huge opportunity to impact the growth and success of the organization."* 6. The lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 1	**Definition and Importance of HRM**	
Activity 6	**The HRM Model**	
Purpose	**To introduce the HRM Model to the participants.**	
Objectives	By the end of the activity, the participants are able to: • Define the factors that affect HRM. • Know the units responsible for HRM.	
Time:	**Materials:**	**Steps/Method:**
10-15 minutes	Flipcharts, Stands, Pens, Tapes	*Plenary* 1. The lead trainer asks the participants about the factors that affect HRM in their respective MFIs. The co-trainer

		lists down the responses in a flipchart on the board. *2.* The lead trainer summarizes the responses and cluster them into three main categories: *society, MFI, and staff* *3.* The lead trainer also describes the responsible units in HRM as follows: *Line Managers, HRM Unit/Department/ Staff* 4. The lead trainer emphasizes that: "*Carrying out HRM activities rests with the Manager at the line. HRM can only provide the system, tools, and structure but its success lies on how well they are communicated, administered, reviewed and monitored by managers or leaders at the line. They should be able to relate these to the needs of their staff. Thus, managers in the MFI should understand and accept this role and responsibility in using HRM systems and tools for effective people management."* *Further, "Human resource management is a shared responsibility between the HRM department and the Line Managers, and that consistent application of HRM practices is necessary to ensure success of the MFIs.* 5. When all is clear to the participants, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 1	**Definition and Importance of HRM**	
Activity 7	**Application of HRM Practices**	
Purpose	**To introduce the critical factors in affecting HRM and the need for consistency in application of the HRM practices.**	
Objectives	By the end of the activity, the participants are able to: • Iterate the critical factors affecting HRM practices. • Understand importance of consistent application of these practices.	
Time:	**Materials:**	**Steps/Method:**
20 minutes	Computer, PPT Slide 17, LCD Projector	*Lecture* 1. The lead trainer asks the participants what they think affect the HRM practices. 2. The lead trainer summarizes responses and compares them with the list on the slide as follows: 3. The lead trainer emphasizes that in order for the people in the MFI to fully understand their roles and responsibilities in HRM, there should have: *a. Efficient and effective systems – standardize and document HRM policies and procedures including clearly defined decision making authority between head office and the branch offices* *b. Training – ensure that all staff are trained on HRM policies and procedures. This should be part of the orientation for new employees.* *c. Top Management support – it is critical that senior managers not only verbalize the importance of HRM*

		systems, but also model and use the systems themselves. How well they practice these largely affects the culture of the organization d. *Partnership – HRM should take the role of an expert resource working in partnership with line managers, supporting them in the applying HRM policies and implementing procedures (cite here example of HR-Line partnership)* e. *People Management – Good people management takes time, and should be included in job descriptions and key result areas, and rated in performance appraisals. This should be a responsibility integrated into management's responsibilities and ably supported by training managers on effective people management and leadership* f. *Communication – regular communication between HR and line managers and between line managers and their teams will help identify issues early on and hopefully, are detected before they become problems. Such communication encourages exchange of ideas and solutions that could make people in the organization feel involved and important.*

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 2	**Recruitment and Selection**	
Activity 8	**Definition of Recruitment and Selection Processes**	
Purpose	**To introduce the process of recruitment and selection.**	
Objectives	By the end of the activity, the participants are able to: • Define and iterate the recruitment and selection processes.	
Time:	**Materials:**	**Steps/Method:**
10-15 minutes	Computer, PPT Slide 19 Presentation, LCD Projector	*Lecture; Plenary* 1. The lead trainer asks the participants to differentiate recruitment and selection processes. 2. The lead trainer affirms the participants' responses with the definition of recruitment and selection processes written on a slide. 3. The lead trainer emphasize that: *"The RIGHT PERSON for the job is someone who is well matched to the job tasks and the institutional culture. If the person is a good fit, he will demonstrate high level of initiative, creativity and commitment; he will be productive and will likely stay in the MFI.* 4. The lead trainer asks the participants if the definitions are clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

<table>
<tr><td>PART II</td><td colspan="2">OVERVIEW OF HUMAN RESOURCE MANAGEMENT</td></tr>
<tr><td>SESSION 2</td><td colspan="2">Recruitment and Selection</td></tr>
<tr><td>Activity 9</td><td colspan="2">Stop, Think, and Do: Hiring Decisions</td></tr>
<tr><td>Purpose</td><td colspan="2">To familiarize participants on the factors to consider when hiring staff.</td></tr>
<tr><td>Objectives</td><td colspan="2">By the end of the activity, the participants are able to:
• Define the features of persons appropriate for the job.
• Know the costs of hiring the wrong person for the job.</td></tr>
<tr><td>Time:</td><td>Materials:</td><td>Steps/Method:</td></tr>
<tr><td>30 minutes</td><td>Flipcharts, Stands, Pens, Tapes, Board, PPT Slide 20-24, Computer, LCD Projector</td><td>Exercise; Small Group Discussions; Plenary;
1. The lead trainer asks the participants to form four groups and asks the groups to discuss the following questions:
• How do you know you have hired the wrong person?
• What are the causes and costs of hiring the wrong person?
2. The lead trainer provides the groups about 10-15 minutes to discuss their responses and write them on the flipcharts.
3. The lead trainer asks the groups to select their representative to share the results of their discussions.
4. The group representatives share the results to the other groups.
5. The lead trainer summarizes the responses for each of the questions and compares them with the list on the slides as follows:
a. Wrong hires have marginal performance, not doing their share of work, breaking policies and procedures, lack motivation in what they do and not displaying initiatives
b. Causes of poor hiring to include lack of information, resources, time, competency, tools and objectivity
c. Costs of poor hiring to include direct costs (recruitment cost, remuneration, training, and re-doing the processes) and indirect costs (impact on morale and productivity, time spent on coaching and problem solving)
6. The lead trainer asks the participants if all is clear. If they do not have more questions, the lead trainer thanks the participants and moves to the next activity.</td></tr>
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<table>
<tr><td>PART II</td><td colspan="2">THE HUMAN RESOURCE MANAGEMENT SYSTEM</td></tr>
<tr><td>SESSION 2</td><td colspan="2">Recruitment and Selection</td></tr>
<tr><td>Activity 10</td><td colspan="2">Stop, Think, and Do: Steps in Recruitment and Selection Processes</td></tr>
<tr><td>Purpose</td><td colspan="2">To introduce the steps in recruitment and selection processes.</td></tr>
<tr><td>Objectives</td><td colspan="2">By the end of the activity, the participants are able to:
• Know the steps undertaken in the recruitment and selection of staff.</td></tr>
<tr><td>Time:</td><td>Materials:</td><td>Steps/Method:</td></tr>
<tr><td>20-30 minutes</td><td>Flipcharts, Stands, Pens, Tapes, PPT Slide 25-46, Computer, LCD Projector</td><td>Exercise; Plenary; Lecture
1. The lead trainer asks the participants to illustrate (draw) in a flipchart how they recruit and select staff in their respective MFIs.
2. The co-trainer consolidates the responses in a flipchart posted on the board.
3. The lead trainer summarizes the responses and compares them with the identified steps in the recruitment and selection processes as follows:
a. Involve all stakeholders
b. Define Requirements: Task and Competencies
c. Source Candidates
d. Review Resumes/Application Forms
e. Conduct Test
f. Interview
g. Do Background Investigation or Reference Check
h. Decide who to hire
i. Make an Job Offer
5. The lead trainer describes in detail and provides examples in each of the steps mentioned.
6. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.</td></tr>
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<table>
<tr><td>PART II</td><td colspan="2">THE HUMAN RESOURCE MANAGEMENT SYSTEM</td></tr>
<tr><td>SESSION 2</td><td colspan="2">Recruitment and Selection</td></tr>
<tr><td>Activity 11</td><td colspan="2">Stop, Think, and Do: Job Descriptions</td></tr>
<tr><td>Purpose</td><td colspan="2">To improve skills in writing job descriptions.</td></tr>
<tr><td>Objectives</td><td colspan="2">By the end of the activity, the participants are able to:
• Write job descriptions for the staff to be hired.</td></tr>
<tr><td>Time:</td><td>Materials:</td><td>Steps/Method:</td></tr>
<tr><td>20-30 minutes</td><td>Flipcharts, Stands, Pens, Tapes, PPT Slide 29-30, Computer, LCD Projector</td><td>Exercise; Small Group Discussions; Plenary; Lecture
1. The lead trainer asks the participants to form four groups and in each group to identify a particular position that will be advertised.
2. The lead trainer asks the groups to identify and write on a flipchart the job requirements for each of the positions, as follows:
a. education
b. work experience
c. knowledge and skills
d. personal qualities</td></tr>
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		3. The lead trainer asks a representative from each group to share their output to the groups. For each of the presentation, the lead trainer asks the participants to identify which ones are "must-have" and which ones are "nice-to-have". 4. The lead trainer emphasizes that: *"Must-have is the absolute minimum requirement that a candidate must possess in order to do the job. Nice-to-have are the qualities that are not necessary to do the job but would enhance the performance of the staff.* 5. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 2	**Recruitment and Selection**	
Activity 12	**Stop, Think, and Do: Interviewing Candidates**	
Purpose	**To improve skills in interviewing candidates for the job.**	
Objectives	By the end of the activity, the participants are able to: • Practice job interviews through role-playing.	
Time:	**Materials:**	**Steps/Method:**
30 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 38-39, Computer, LCD Projector	*Exercise; Role Play; Plenary; Lecture* 1. The lead trainer asks the participants to form four groups and in each group to identify a particular position that will be advertised. 2. The lead trainer asks the groups to show the other groups through a "role play" how a candidate should be interviewed in the MFI. 3. The lead trainer provides 20 minutes for the groups to prepare their presentations. 4. The lead trainer asks the groups to present while the other groups to observe and take note of the process. 5. The lead trainer asks the participants, when all groups have presented, about their observations. *6.* The lead trainer summarizes the observations and emphasizes the need to do the positive observations and the need to avoid the negative observations. *"Positive attitudes include:* *a. being prepared* *b. listening 80% of the time* *c. establishing and maintaining rapport* *d. developing effective questions* *e. adhering to legal requirements* 7. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 2	**Recruitment and Selection**	
Activity 13	**Stop, Think, and Do: Conducting Orientation for the Staff**	
Purpose	**To introduce components of staff orientation and importance of conducting staff orientation.**	
Objectives	By the end of the activity, the participants are able to: • Know the importance of conducting orientation for the staff. • Iterate the components of effective orientation for the staff.	
Time:	**Materials:**	**Steps/Method:**
20-30 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 44-46, Computer, LCD Projector	*Plenary* 1. The lead trainer asks the participants what orientation of staff is all about. The co-trainer lists down the participants responses in a flipchart. 2. The lead trainer summarizes the responses and explains the objectives of orientation as follows: *a. to introduce new employees* *b. make them feel welcome* *c. involve other employees* 3. The lead trainer then asks the participants what topics should be included in the orientation. The co-trainer lists down the participants responses in a flipchart. 4. The lead trainer validates the participants' responses with the list written in the slide as follows: *a. institutional issues* *b. conditions of employment* *c. contacts* *5.* The lead trainer further describes and provides examples for each of these topics using actual experiences of the MFIs. *The lead trainer may also ask the participants what is most important for them during their own interview to initiate sharing of experiences.* 6. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 3	**Performance Management System (PMS)**	
Activity 14	**Definition and Importance of PMS**	
Purpose	**To introduce the definition and importance of conducting performance management in MFI.**	
Objectives	By the end of the activity, the participants are able to: • Define performance management. • Know the importance and processes involved in conducting performance management in MFI.	
Time:	**Materials:**	**Steps/Method:**
30-40 minutes	Flipcharts, Stands, Pens, Tapes, PPT	*Plenary* 1. The lead trainer asks the participants what performance management is all about. The co-trainer lists down the participants responses in a flipchart. The lead trainer

	Slide 47-62, Computer, LCD Projector	summarizes the responses and compares with the definition written in the slide. 2. The lead trainer then asks the participants what is the importance of conducting performance management. The co-trainer lists down the responses in a flipchart. The co-trainer summarizes the responses and compares them with the importance written on the slides. *3.* Further, the lead trainer walks the participants through the whole performance management cycle – from planning, monitoring, developing, rating, to rewarding. *4.* For Planning, the lead trainer emphasizes the: • *need for clear direction,* • *level of performance expected from the staff, and* • *performance standards that need to be met* 5. For Monitoring, the lead trainer emphasizes the: • *Performance Reviews or on-going feedback (weekly, monthly or quarterly) - At the minimum, the supervisor and the employee should meet mid-way through the year (6 months) however, quarterly meetings are ideal.* 6.For Rating, the lead trainer emphasizes the: • *Performance appraisal – providing objective feedback of the performance of employee based on the KRA's set. As raters, they should have very clear basis for the ratings provided. Its overall purpose is to agree on a development plan for the employee. It is a forward looking process that is action oriented. The past is only used in terms of what the manager and employee can learn from it.* 7. For Rewarding, the lead trainer emphasizes that: • *Good managers don't wait for their organization to solicit nominations for formal awards before recognizing good performance. Recognition is an ongoing natural part of the day-to-day experience. A simple "thank you" does not require any specific regulatory authority.* • *The practice of pay for performance has both theoretical and empirical support. Expectancy theory argues that individuals are motivated to perform if they know that their extra value-added performance is recognized and rewarded.* 8. The lead trainer also gives examples at each of the stage in the cycle, to help participants further understand, such as: *a. linking institutional objectives with individual staff performance* *b. setting individual targets* *c. adjusting goals to business changes* *d. improving capacities through training…*

		9. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 3	**Performance Management System (PMS)**	
Activity 15	**Stop, Think, and Do: Setting SMART Objectives**	
Purpose	• To improve skills in developing performance objectives for the staff.	
Objectives	By the end of the activity, the participants are able to: • Develop SMART performance objectives for the staff.	
Time:	**Materials:**	**Steps/Method:**
10-15 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 56, Computer, LCD Projector	*Plenary; Small Group Discussions* 1. The lead trainer asks the participants what the acronym SMART mean when it pertains to setting up objectives, such as: S – specific M – measurable A – achievable R - realistic/result oriented T - time-bound 2. The lead trainer then asks the participants to form four groups and within their groups, asks the participants to list three performance objectives for the staff that satisfy the SMART criteria. 3. After 5 minutes, the lead trainer asks representatives from each group to share the sample performance objectives. 4. The lead trainer asks the participants to comment on the sample performance objectives shared by the group. 5. The lead trainer validates with the groups whether examples provided are SMART or not. 6. The lead trainer then asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 3	**Performance Management System (PMS)**	
Activity 16	**Stop, Think, and Do: Performance Appraisal**	
Purpose	• To improve system and skills in conducting performance appraisals.	
Objectives	By the end of the activity, the participants are able to: • Show how to conduct effective performance appraisal.	
Time:	**Materials:**	**Steps/Method:**
20-30 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 61,	*Plenary* 1. The lead trainer asks the participants to form four groups. 2. The lead trainer then asks the groups the following: *a. What is performance appraisal?*

	Computer, LCD Projector	*b. How is this used in your MFIs?* *c. How frequent do you do appraisal in your MFIs?* *d. What are the challenges you faced in conducting appraisal in your MFIs?* *3.* The lead trainer gives the groups 15 minutes to discuss and asks the groups to list down their responses in a flipchart for presentation to the rest of the groups. 4. The lead trainer asks the group to present their outputs one by one and for the rest of the groups to comment on the outputs of the other groups. 5. The lead trainer summarizes the responses of all groups and asks highlights important points from the sharing such as: *a. need to do appraisal on a regular basis* *b. use of a particular tool like Balance Scorecard* *c. difficulty in providing fair remarks/appraisal* 6. The lead trainer then asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 3	**Performance Management System (PMS)**	
Activity 17	**Stop, Think and Do: Responsibilities of Employees, Manager, and HR Officers**	
Purpose	• To differentiate responsibilities of employees, managers, and HR Officers.	
Objectives	By the end of the activity, the participants are able to: • Understand responsibilities of employees, managers and HR officers and how they should complement and support each other.	
Time:	**Materials:**	**Steps/Method:**
20-30 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 63-66, Computer, LCD Projector	*Plenary; Small Groups Discussions* 1. The lead trainer asks the participants to form three groups to represent the employees, the managers, and the HR officers. 2. The lead trainer then asks the groups describe the HR responsibilities of each. *3.* The lead trainer gives the groups 10 minutes to discuss and asks the groups to list down their responses in a flipchart for presentation to the rest of the groups. 4. The lead trainer asks the group to present their outputs one by one and for the rest of the groups to add or comment on the outputs of the other groups. 5. The lead trainer summarizes the responses of all groups and compares with the list written on the slides. 6. The lead trainer then asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 4	**Compensation and Benefits**	
Activity 18	**Definition and Importance of Compensation**	
Purpose	• To define compensation and their importance to staff in MFIs.	
Objectives	By the end of the activity, the participants are able to: • Define what compensation is, its composition, and its importance.	
Time:	**Materials:**	**Steps/Method:**
20 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 67-71, Computer, LCD Projector	*Plenary* 1. The lead trainer asks the participants what are compensation and benefits of staff of MFIs and their composition. 2. The lead trainer summarizes responses and compares with the definition written on the slides. The lead trainer emphasizes that: *Total compensation include salary and benefits.* 3. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART II	**THE HUMAN RESOURCE MANAGEMENT SYSTEM**	
SESSION 4	**Compensation and Benefits**	
Activity 19	**Stop, Think and Do: Importance of Compensation**	
Purpose	• To define importance of compensation.	
Objectives	By the end of the activity, the participants are able to: • Understand the importance of compensation for staff.	
Time:	**Materials:**	**Steps/Method:**
20 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 67-71, Computer, LCD Projector	*Plenary* 1. The lead trainer asks the participants why they think compensation is important. 2. The lead trainer summarizes responses and highlights the importance as follows, among others: *a. enhancing staff morale* *b. increasing employee productivity* *c. improving job satisfaction* *The whole compensation package affects staff morale, employee job satisfaction and overall productivity. If creatively and effectively designed, the compensation package could positively affect staff attitude and productivity.* 3. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

<table>
<tr><td>PART II</td><td colspan="2">THE HUMAN RESOURCE MANAGEMENT SYSTEM</td></tr>
<tr><td>SESSION 4</td><td colspan="2">Compensation and Benefits</td></tr>
<tr><td>Activity 20</td><td colspan="2">Creating Salary Structure</td></tr>
<tr><td>Purpose</td><td colspan="2">• To walk the participants through the different steps in creating a salary structure for the MFI.</td></tr>
<tr><td>Objectives</td><td colspan="2">By the end of the activity, the participants are able to:
• Iterate the different steps in creating salary structure for the staff.
• To create a salary structure for the MFI.</td></tr>
<tr><td>Time:</td><td>Materials:</td><td>Steps/Method:</td></tr>
<tr><td>30 minutes</td><td>Flipcharts, Stands, Pens, Tapes, PPT Slide 72-81, Computer, LCD Projector</td><td>Plenary
1. The lead trainer describes the process in creating salary structure and explains each step. The lead trainer emphasize that:
• Preparing job descriptions should be joint responsibility of the employee and their manager. The HR manager supports this process to ensure that the job description reflects the job and not the person.
• Job evaluation is concerned with the worth of the job, especially in relation to other jobs in the organization. The goal is to create job levels to groups with similar jobs placed together in the same category.
• There are several approaches to job evaluation, from simple to more complex. One method is the grading system that reviews jobs against pre-defined scale. MFI has to ensure that the method they choose will be fair and will not discriminate anyone.
• To ensure that the salary system remains current and competitive, it is beneficial to periodically administer or participate in a compensation survey.
• MFI may get a better response and reliable results if they use a third party to conduct the survey on their behalf (since salary information is highly sensitive and confidential, may institutions may not be willing to share this information).
2. The lead trainer asks co-trainer and the participants to share also their own MFI experiences.
3. The lead trainer summarizes the responses and compares with the pointers on the slides.
4. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.</td></tr>
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<table>
<tr><td>PART II</td><td colspan="2">THE HUMAN RESOURCE MANAGEMENT SYSTEM</td></tr>
<tr><td>SESSION 4</td><td colspan="2">Compensation and Benefits</td></tr>
<tr><td>Activity 21</td><td colspan="2">Stop, Think and Do: Benefits</td></tr>
<tr><td>Purpose</td><td colspan="2">• To define the different types of benefits that could be provided to the staff, their importance and advantages.</td></tr>
<tr><td>Objectives</td><td colspan="2">By the end of the activity, the participants are able to:
• Iterate the different types of benefits that could suit the staff of MFIs.
• Understand the importance of benefits and the advantages of providing the staff with benefits.</td></tr>
<tr><td>Time:</td><td>Materials:</td><td>Steps/Method:</td></tr>
<tr><td>30 minutes</td><td>Flipcharts, Stands, Pens, Tapes, PPT Slide 82-89, Computer, LCD Projector</td><td>Plenary
1. The lead trainer asks the participants to form four groups and within the groups, asks the participants to discuss the following within 10 minutes:
a. What are the benefits you provide to your staff?
b. What are the advantages of providing benefits.
2. The lead trainer asks the groups to write their responses on the flipcharts and to select their representative to share with other groups their outputs.
3. The group representatives share their outputs with the other groups.
4. The lead trainer summarizes the responses and compares with the lists on the slides.
5. The lead trainer asks co-trainer and the participants to share also their own MFI experiences.
6. The lead trainer emphasizes to the participants to:
a. Be cautious as benefits may become fixed cost – when it happens it is difficult to remove once established
b. Communicate clearly to staff the benefits and how they can be availed
c. Do not underestimate the value of verbal praise and recognition
d. The incentives depend on certain behaviors that should be rewarded and encouraged. This should match the institutional culture and goals of the MFI.
e. Carefully analyze a proper mix of salary, benefits, and incentives/rewards/ recognition for the MFI.
7. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.</td></tr>
</table>

PART II	THE HUMAN RESOURCE MANAGEMENT SYSTEM	
SESSION 5	**Training and Development**	
Activity 22	**Definition of Training and Development**	
Purpose	• To introduce the concepts of training and development, their benefits to MFIs.	
Objectives	By the end of the activity, the participants are able to: • Understand difference between training and development. • Understand the benefits of training and development.	
Time:	**Materials:**	**Steps/Method:**
30-40 minutes	Flipcharts, Stands, Pens, Tapes, PPT Slide 90-96, Computer, LCD Projector	*Plenary* 1. The lead trainer asks the participants about their understanding of training and development. 2. The lead trainer summarizes the responses from the participants and differentiates training from development, emphasizing that the former focuses on the current job while the latter focuses on the long term goals. 3. The lead trainer then asks the participants about the benefits of providing training to their staff as well as developmental initiatives. *Other than the obvious benefit of increased competence, for the individual, benefits derived are more personal - training could increase employee's enthusiasm for the job and commitment to the institution.* 4. The lead trainer may ask participants to share examples and/or cites some examples, such as: *Management Development Program or MDP – a pass or fail program that senior staff must complete and pass before they become first level officer of the bank. This program prepares the candidates to tackle additional responsibilities as Bank Officers by equipping them with classroom sessions and on the job training (OJT) that will enhance their technical competence, broaden their banking perspective, and develop their managerial and leadership abilities*. 5. The lead trainer summarizes all responses and compares them with the list written in the slides. 6. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer moves to the next activity.

<table>
<tr><td>PART II</td><td colspan="2">THE HUMAN RESOURCE MANAGEMENT SYSTEM</td></tr>
<tr><td>SESSION 5</td><td colspan="2">Training and Development</td></tr>
<tr><td>Activity 23</td><td colspan="2">The Training Cycle</td></tr>
<tr><td>Purpose</td><td colspan="2">• To introduce the steps in a training cycle.</td></tr>
<tr><td>Objectives</td><td colspan="2">By the end of the activity, the participants are able to:
• Understand the processes involved in training and development.</td></tr>
<tr><td>Time:</td><td>Materials:</td><td>Steps/Method:</td></tr>
<tr><td>30-40 minutes</td><td>Flipcharts, Stands, Pens, Tapes, PPT Slide 97-105, Computer, LCD Projector</td><td>Plenary
1. The lead trainer shows the participants a diagram that describes the training cycle and discusses the processes within each of the steps in the cycle:
a. training needs analysis (TNA)
b. training design and development
c. training delivery
d. training evaluation
2. The lead trainer asks the participants to share their own experiences in training and development, and some of the issues that they may be facing.
3. The lead trainer summarizes the sharing and responses and compares them with the lists written on the slides.
4. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.</td></tr>
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<table>
<tr><td>PART II</td><td colspan="2">THE HUMAN RESOURCE MANAGEMENT SYSTEM</td></tr>
<tr><td>SESSION 6</td><td colspan="2">The Human Resource Professional</td></tr>
<tr><td>Activity 24</td><td colspan="2">Roles and Responsibilities</td></tr>
<tr><td>Purpose</td><td colspan="2">• To introduce the roles and responsibilities of HR professionals.</td></tr>
<tr><td>Objectives</td><td colspan="2">By the end of the activity, the participants are able to:
• Understand the roles and responsibilities of HR professionals.</td></tr>
<tr><td>Time:</td><td>Materials:</td><td>Steps/Method:</td></tr>
<tr><td>45 minutes</td><td>Flipcharts, Stands, Pens, Tapes, PPT Slide 106-111, Computer, LCD Projector</td><td>Plenary
1. The lead trainer asks the participants to describe what HR professionals are.
2. The lead trainer summarizes the responses from the participants and emphasizes that:
a. managing HR is a shared responsibility between HR department or HR professionals and line managers
b. HR professionals must create and add value to the organization
c. HR should deliver results
3. The lead trainer then shows a diagram that describes the HR roles in building competitive organization followed by the definition of HR roles in relation to the diagram.
4. The lead trainer also shares the behaviors of HR professionals that enhance credibility and makes them as role models.
5. The lead trainer emphasizes to the participants that "HR</td></tr>
</table>

		plays multiple roles that are both strategic and operational in nature: • *Strategic partner – The ability of HR to align its programs to the business strategy. HR professionals increase the capacity of a business to execute its strategies. For example, if organization needs to reduce cost, HR can implement job rotation and downsizing practices.* • *Administrative Expert – HR professionals design and deliver efficient HR processes for staffing, training, appraising, rewarding, promoting and managing the flow of employees through the organization. One example is streamlining and automating HR processes like payroll, training registration, etc. Or cutting down the number of months to replace a resigned employee (say from 6 months to one month).* • *Employee Champions – personally spend time with employees and encourage managers from other departments to do the same. They listen and provide resources to help employees achieve their goals. They provide avenues where employees can communicate concerns and suggestions (like engagement survey, suggestion box).* • *Change agent –helping employees let go of the old and adapt to a new culture. HR executives help organizations identify a process for managing change. This includes identifying and framing problems, building relationships of trust, solving problems, and creating and fulfilling action plans.* 6. The lead trainer asks the participants to share their own experiences in training and development, and some of the issues that they may be facing. The lead trainer summarizes the sharing and responses. 7. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART III	**CLOSING ACTIVITIES**	
SESSION 1	**Wrap Up and Evaluations**	
Activity 25	**Evaluations**	
Purpose	To validate whether the training objectives have been met.	
Objectives	By the end of the activity, the participants are able to: • Validate achievement of the training objectives, participants' training expectations, and resolve "parking lot" issues. • Complete the evaluation form.	
Time:	**Materials:**	**Steps/Method:**
15-20 minutes	Pens, Agenda,	*Plenary; Post Training Evaluation* 1. The support staff distributes the evaluation forms to the

	PPT Slide 3, Computer, LCD Projector Evaluation Forms	participants and asks them to fill up the form. 2. The support staff provides a short explanation on the content and how the form should be filled up by the participants. 3. The support staff collects the forms from the participants. 4. The training coordinator reviews the training objectives against the learning experiences of the participants along with their expectations from the training. 5. The training coordinator reviews the issues listed in the parking lot, if any and tries to resolve such issues. 6. The training coordinator asks the participants if they want to share anything to the group. 7. The lead trainer asks the participants if all is clear. If there are no questions, the lead trainer thanks the participants and moves to the next activity.

PART III	**CLOSING ACTIVITIES**	
SESSION 1	**Closing**	
Activity 25	**Closing Remarks**	
Purpose	To officially mark the end of the training.	
Objectives	By the end of the activity, the participants are able to: • Complete the requirements of the training. • Receive the certificate of completion.	
Time:	**Materials:**	**Steps/Method:**
15-20 minutes	Certificates	*Plenary* 1. The training coordinator requests the representatives of host institutions (e.g. ADB, SBV) to deliver the closing remarks. 2. The training coordinator thanks all the people that supports the delivery of the training (ADB, SBV, PMU, MFI, others) and thanks the participants for the hard work and active participation. 3. The hosts' organization representatives issue the certificate of completion to the participants. 4. The host, trainers and participants pose for the group picture.

PRESENTATION MATERIAL

Human Resource Management in Micro Finance Institutions

August 22-23, 2011

SLIDE 1

Expectation Setting

- What do you hope to gain from this training/ seminar?
- What are you willing to give to have a meaningful session?
- What do you expect from the facilitator?

SLIDE 2

Objectives

- Explain the importance of HRM in contributing to the success of MFI;
- Cite and explain the core functions/ activities of HRM;
- Identify role and responsibilities of HR professionals in setting up employees for success

SLIDE 3

Agenda

- Overview of Human Resource Management
- Recruitment and Selection
  - Definition and Importance
  - Hiring Decisions
  - Considerations/ Issues in Hiring
  - Recruitment and Selection Process

SLIDE 4

Agenda

- Performance Management
  - Definition and Importance
  - Performance Management Cycle
  - Responsibilities
    - Employee
    - Manager
    - HRM

SLIDE 5

Agenda

- Compensation and Benefits
  - Compensation
    - Definition
    - Importance
    - Factors that Influence Compensation
    - Creating a Salary Structure
  - Benefits
    - Types of Benefits
    - Advantages
    - Determining Benefits Suited for MFI
  - Incentives and Rewards

SLIDE 6

Agenda

- Training and Development
  - Definition
  - Benefits of Training and Development
  - Identifying Training Needs
  - Providing Training and Development
- The HR Professional
  - Strategic Partner
  - Administrative Expert
  - Employee Champion
  - Change Agent

SLIDE 7

Module I

OVERVIEW OF HRM

SLIDE 8

What are the current challenges you face or encounter in HRM?

SLIDE 9

Human Resource Management

- Provides an institution with an effective workforce to meet its mission
- Brings the RIGHT NUMBER OF PEOPLE, with the RIGHT ATTITUDE and SKILLS, in the RIGHT PLACE at the RIGHT TIME.
- Should have the FULL SUPPORT of the Board of Directors and Senior management

SLIDE 10

Primary Activities of HRM

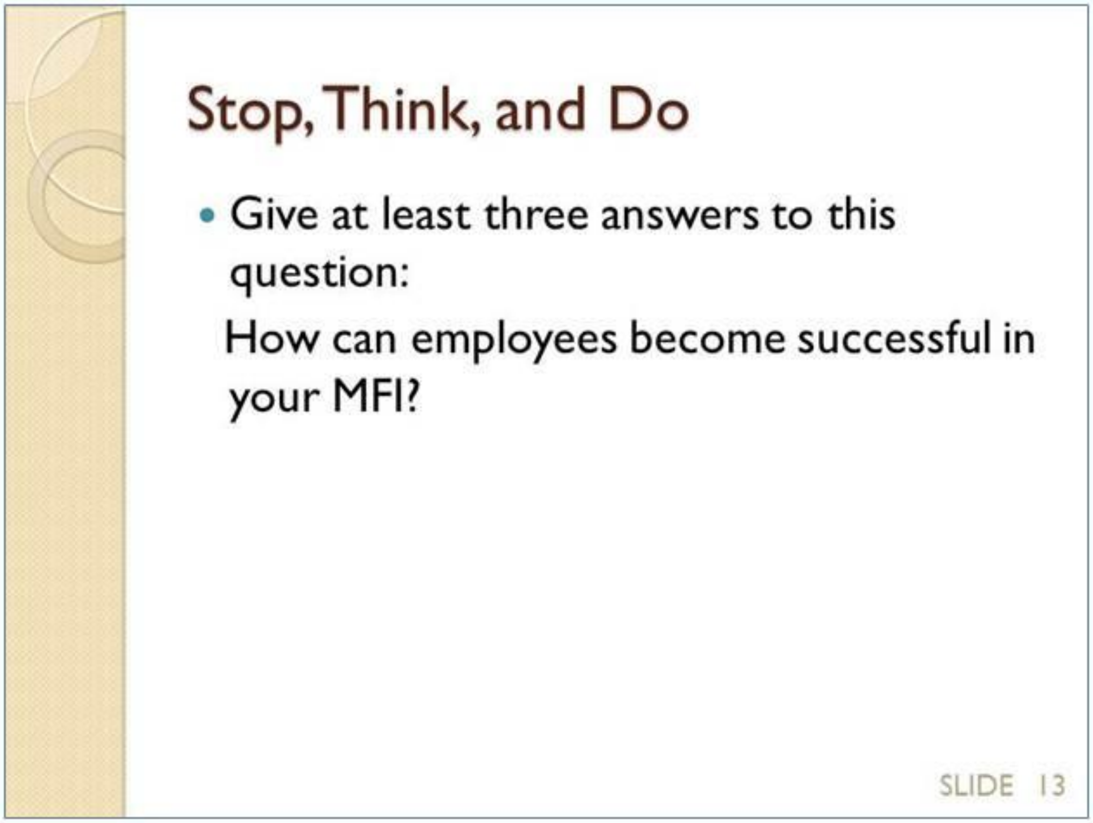
- Human Resource Planning
- Recruitment and Selection
- Compensation and Benefits Administration
- Performance Management
- Training and Development
- Employee Relations

SLIDE 11

Importance of HRM

- People manage the organization's resources, thus, HRM systems and tools should **find, train, manage, motivate and develop** a team of people who will carry out the MFI's mission

SLIDE 12


Stop, Think, and Do
Give at least three answers to this question:
How can employees become successful in your MFI?
SLIDE 13


All Employees Need to:
Identify with the MFI's mission
Understand their role, responsibilities and how these contribute to the mission
Know what is expected of them
Have the capacity, resources, and environment that will make them deliver and encourage success
Receive constructive feedback, encouragement, and opportunities to learn, develop and grow
SLIDE 14

Factors that Affect HRM

- Society – government laws, economy, social issues, environmental concerns, industry competition
- MFI – mission, goals, culture and strategy; structure and functions of HRM
- Staff – how successful each staff will determine the institution's success

SLIDE 15

Who is Responsible for HRM?

- Line Manager
- HRM Unit/ Department/ Staff

Human resource management is a **shared** responsibility between the HRM department and the line managers

SLIDE 16

Consistent Application of HRM Practices

- Efficient and Effective Systems
- Training
- Senior Management Support
- Partnership with Line Managers
- People Management
- Communication

SLIDE 17

Module 2

RECRUITMENT AND SELECTION

SLIDE 18

Recruitment and Selection

RECRUITMENT is the search for qualified applicants

SELECTION is the evaluation and decision of which candidate is the best match for the job and the institution.

The RIGHT PERSON is someone who is well matched to the job tasks and your institution's values and goals – will display high level of initiative and creativity, productivity and commitment

SLIDE 19

Stop, Think and Do

- How do you know you have hired the wrong person?
- What are the costs of hiring the wrong person?

SLIDE 20

Wrong Hires are…

- marginal in their performance
- not doing their share of work
- breaking policies or procedures
- lack motivation (no energy or enthusiasm) in what they do
- not displaying initiative

SLIDE 21

Poor Hiring Decisions – Causes

- Lack of Information – making decisions without all pertinent details about the applicant

- Lack of Resources– organization is not willing to pay the direct and indirect costs necessary to support a proper recruitment process

- Lack of Time – managers are often loaded with a ton of things to do, and do not have the time to recruit properly, therefore, make quick or hasty decisions

SLIDE 22

Poor Hiring Decisions – Causes

- Lack of Competency– do not have the required knowledge and skills, in recruiting and selecting
- Lack of Tools – lack of proper recruitment and selection process
- Subjectivity of Interviewer– may be based on interviewer's likes and dislikes instead of the applicant's skills

SLIDE 23

Poor Hiring Decisions - Costs

- Direct costs – salary of non-performer; severance pay; recruitment costs (advertisement) to attract new employee; training cost
- Indirect costs –negatively affects overall morale and productivity of other staff; time spent on coaching, problem solving

SLIDE 24

Stop, Think and Do

- How do you recruit? Please illustrate in the easel sheet the process you follow when recruiting and selecting.

SLIDE 25

Recruitment and Selection Process

- Involve stakeholders in the entire process
- Define requirements: task and competencies
- Source candidates
- Review resumes/ application forms
- Conduct test
- Interview applicants
- Do background investigation
- Decide: who to hire
- Make an offer

SLIDE 26

Recruitment and Selection Process

- Involve stakeholders
  - It is best to include more people in the process to:
    - Reduce subjectivity
    - Discuss strengths and weaknesses of candidate
    - Share responsibility for hiring decision
    - Get the people involved to take greater responsibility in taking care of the employee once hired

SLIDE 27

Recruitment and Selection Process

- Define Requirements: Task and Competencies
  - Defining tasks and job details through a job description
  - Identifying required knowledge, skills and attitude

SLIDE 28

Stop, Think and Do

- Write Job Description of an MFI position
- Identify the job requirements
  - Education
  - Work Experience
  - Knowledge and Skills Required
  - Personal Qualities
- Based on the requirements, identify the must-have and nice-to-have

SLIDE 29

- ❑ MUST-HAVE are the absolute minimum requirements that a candidate must have in order to do the job

- ❑ NICE-TO-HAVE are qualities that are not necessary to do the job but would enhance performance

SLIDE 30

Recruitment and Selection Process

- Source Candidates

Be proactive in sourcing: Look for good/potential candidates even of there is no apparent or urgent need. You should continuously recruit and network to build your pool of potential candidates.

SLIDE 31

Where do we look for candidates?

- Current Employees
- Resumes on file
- Networking (face to face or social networking
- Advertising
- Referrals

SLIDE 32

Recruitment and Selection Process

- Review Resumes/ Application Forms

YES	NO	MAYBE
Candidate has all the MUST-HAVE requirements	Candidate does not have the MUST-HAVE requirements	Unclear if the candidate's qualifications meet the MUST-HAVE criteria

SLIDE 33

Recruitment and Selection Process

- Review Resumes/ Application Forms
  - Tips for Sorting Resumes
    - Search the resume for your MUST-HAVE qualifications
    - Look for the content of the resume. Do not be impressed by fancy paper, etc.

SLIDE 34

Recruitment and Selection Process

- Review Resumes/ Application Forms
  - Tips for Sorting Resumes
    - Look for **missing or unusual** information, like gaps in work history; start and end dates of schooling
    - Look for achievement, growth and progress
    - Remember, you are only deciding if you should ***interview,*** not if you should ***hire*** the applicant

SLIDE 35

Recruitment and Selection Process

- Conduct Test
  - Depending on the test you give, testing could be an excellent method of determining actual skill level.
  - If possible, design a test that resembles work-related situations or those that directly determine the competencies you are looking for

SLIDE 36

Recruitment and Selection Process

- Interview – if conducted appropriately, this could be your best tool for evaluating a candidate. The interview allows both the employer and the candidate to determine if the job is a "match".

SLIDE 37

Stop, Think and Do

- How do you conduct a successful interview?

SLIDE 38

Conducting a Successful Interview

- Be prepared
- Listen 80% of the time; talk 20%
- Establish and maintain rapport with the candidate (make him/her feel at ease)
- Develop effective questions
- Allow the candidate to ask questions
- Adhere to legal requirements

SLIDE 39

Recruitment and Selection Process

- Do a reference or background check– this is a chance to validate your impressions and instinct about a candidate, as well as the veracity of information he/she stated in the resume. This also allows you to know the candidate's past behavior.

SLIDE 40

Recruitment and Selection Process

- Decide who to hire– Final decision on which candidate rests on the hiring manager, with the approval of his/her immediate superior, and in consultation with the HR Manager.

SLIDE 41

Recruitment and Selection Process

- Make an Offer– This is when you negotiate the terms of employment– stating about the full details of the job, salary, benefits, start date, work conditions, work hours, nature of employment (regular or probationary).

SLIDE 42

Recruitment and Selection Process

- Involve all stakeholders
- Define requirements
- Source candidates
- Review resumes/ application forms
- Conduct Test
- Interview
- Do background investigation
- Decide: who to hire
- Make an offer

SLIDE 43

Conduct Orientation

Objectives:

- Introduction new employees to your institution and work expectations
- Make them feel welcome
- Elicit involvement of other employees in the conduct of the orientation to help new employees become successful

SLIDE 44

Stop, Think and Do

- What topics do you include in the Orientation?

SLIDE 45

Include in Orientation

- Institutional issues: history, vision, mission, values, organization structure, policies, regulations, commitment to customer service
- Conditions of employment: performance management system, vacation, hours of work, insurance coverage, benefits
- Contacts

SLIDE 46

Module 3

PERFORMANCE MANAGEMENT

SLIDE 47

Performance Management

- A process by which the subordinate and the leader are equally involved in setting objectives and delivering results

"Take her back to work. She can still hold a file."

SLIDE 48

PMS will:

- Provide consistent and systematic supervision to all staff in the organization
- Ensure that the mission, goals, and action plans of the organization are actually accomplished through individuals
- Focus supervision on promoting and supporting successful performance, not just reprimanding and correcting poor performance

SLIDE 49

PMS will:

- Take time to build trust and practice good one-on-one communication: listening, clarifying, and giving and receiving feedback
- Provide the opportunity for staff to participate in planning and monitoring their own work

SLIDE 50

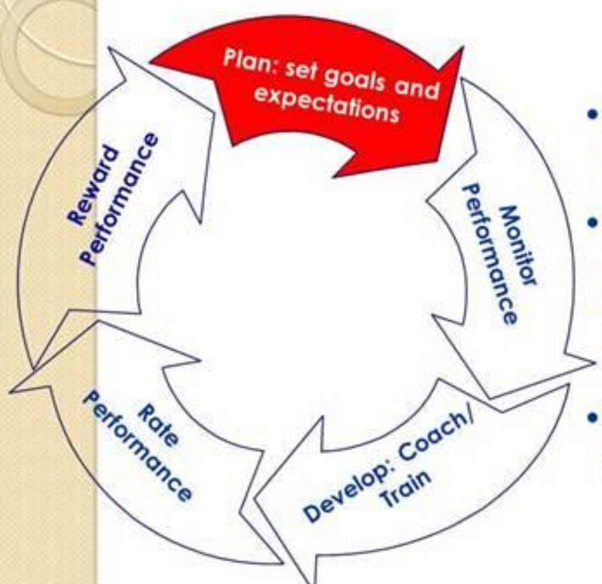
Performance Management System

It is a cycle that involves the following:

- **Planning** work and setting expectations;
- Continually **monitoring** performance;
- **Developing** the capacity to perform;
- Periodically **rating** performance; and
- **Rewarding** good performance

SLIDE 51

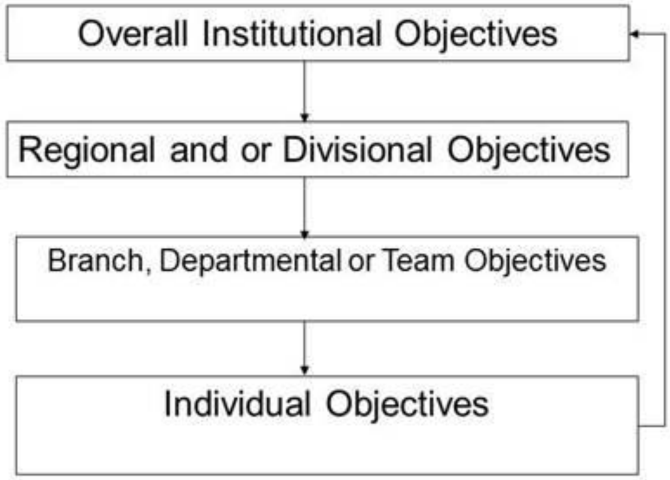
PMS Cycle – Planning



- Beginning of the Year: **Objective Setting**
- Communicating the objectives and setting up measurable and assessable goals
- Objectives should be SMART

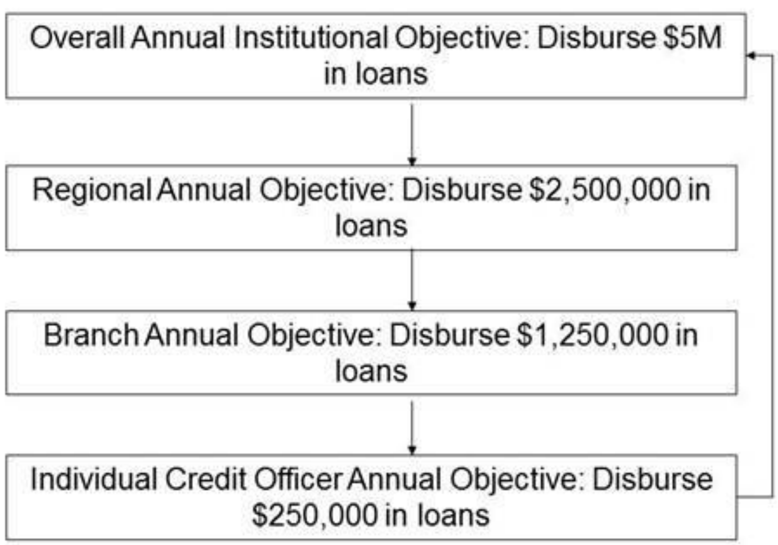
SLIDE 52

Linking Institutional Objectives to Individual Performance



SLIDE 53

Example: Revenue Target



SLIDE 54

Setting Individual Objectives

- Created at the start of the fiscal or calendar year
- Should be aligned with the MFI's targets
- Objectives should be reviewed and can be revised should environmental factors or directions change
- Objectives should be SMART – specific, measurable, achievable, realistic and time-bound
- Limit to 5-8 objectives in total

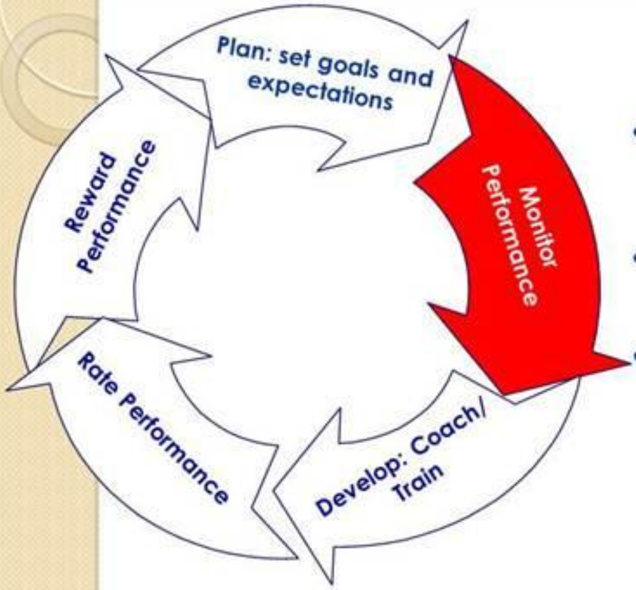
SLIDE 55

Stop, Think and Do

- Set three (3) SMART objectives

SLIDE 56

PMS Cycle – Monitoring

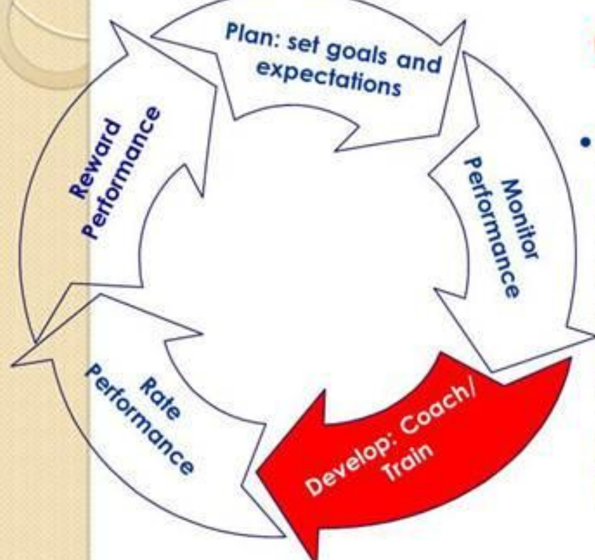


Monitoring

- Checking how well employees are meeting goals
- Providing feedback on unacceptable performance
- **Adjusting goals to correspond to business change; changes are documented and signed copies are forwarded to HR**

SLIDE 57

PMS Cycle – Developing



Ongoing Support

- Increasing capacity to perform through training, assignments that introduce new skills or higher level of responsibility, improving work processes, or other methods

SLIDE 58

PMS Cycle – Rating

Year-end Evaluation

- Evaluating individual or group performance against the value added factors and standards
- Rating is assigned based on results delivered
- Behavioral aspects (anchored on core values are also rated)
- Providing feedback on results
- **Discussing of Employee Development Plan/ Improvement Plan**

SLIDE 59

Phases of Year End Appraisal

Phase 1: Evaluation of Employee's Progress	The appraisal is based on the employee's: 1. Performance relative to their objectives 2. Conduct relative to the institution's general standards of performance areas; and 3. Additional achievements.
Phase 2: Development Plan for Employee	Improve a specific area of performance and/or to prepare the employees for advancement or job enrichment. It may also be at this phase where the employee and the manager, once again, prepare and agree on the performance objectives for the next year (most often another meeting is scheduled)

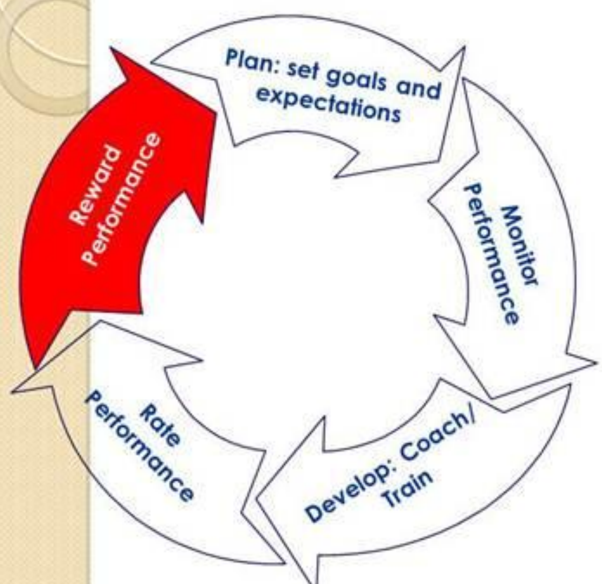
SLIDE 60

Stop, Think and Do

- How do you conduct performance appraisal discussion?

SLIDE 61

PMS Cycle – Rewarding



- Recognizing employees for their performance and acknowledging their contributions to the organization's mission.
- What about those who did not perform?

SLIDE 62

Responsibilities of **Employee**

- Participate in setting annual performance objectives
- Actively participate, ask questions, and follow through on commitments
- Ask for, and listen openly to feedback from manager and others
- Be responsible about his/her own professional development
- Monitor own performance
- Focus on achievements rather than activities
- Deliver results

SLIDE 63

Responsibilities of **Manager**

- Set clear, measurable, and attainable objectives with inputs from employees
- Provide honest, constructive and timely feedback to employees, recognize accomplishments, and track progress towards goals
- Recommend and support training and development; coach
- Initiate and conduct semi annual and annual performance reviews

SLIDE 64

Responsibilities of **HRM**

- Help managers set clear, measurable, and attainable objectives with input from employees
- Provide training to employees on how to use the process/ system effectively
- Ensure that all staff receive orientation on the institution's Performance Management System or PMS
- Monitor the use of PMS and remind managers to set discussions and provide ongoing feedback

SLIDE 65

Responsibilities of **HRM**

- Review completed year-end performance appraisals for all staff to ensure the process is working and to monitor performance gap trends

SLIDE 66

Module 4

COMPENSATION AND BENEFITS

SLIDE 67

COMPENSATION

- Includes all financial and non-financial benefits an employee earns for their work
- Employee's salary is the fixed amount of pay they receive for their work
- Benefits complement salary by providing additional monetary or non-monetary compensation to employee

SLIDE 68

Stop, Think and Do

- Why is compensation important?

SLIDE 69

Importance of Compensation

- Staff morale
- Employee productivity
- Job satisfaction

SLIDE 70

Your compensation can:

- Demonstrate your MFI's commitment to internal and external fairness and equity – a big boost to staff morale
- Motivate your staff to advance along salary scale
- Provide consistent pay to staff of similar hierarchical level, length of service and relative performance
- Build strong teams through incentives based on collective branch outputs
- Shape desired employee behaviors by linking incentives to specific performance outputs

SLIDE 71

Creating a Salary Structure

SLIDE 72

Document Job Descriptions

Job descriptions are key to the salary system because they provide the basis of comparing jobs and therefore, ensure equity within the salary system

For the purposes of job comparison, it is important that each job description includes the same categories

SLIDE 73

Create Job Levels

Once you have the job descriptions, then you are ready for the job evaluation process

Job Evaluation aims to:

1. Establish an objective and transparent system to compare and categorize jobs
2. Create a rank order of the jobs and then group similar jobs together in the same category
3. Avoid favoritism or patronage
4. Iron out current discrepancies and help to prevent future anomalies in the value of jobs which can cause bad feelings, resentment and demands for parity from those who feel they are undervalued.

SLIDE 74

Conduct a Market Survey

Market surveys aim to compare employee compensation for similar positions amongst similar organizations.

This will allow you to benchmark salaries in your MFI and recognize what salary levels are required for attracting and retaining qualified staff.

SLIDE 75

Create Salary Ranges

- Begin by determining your pay policy – a statement that defines how you will position your salary levels relative to the market (i.e. average, above average)
- Create salary range for each job level
    - Minimum – entry level
    - Midpoint – proficient (2 to 4 years)
    - Maximum – exceptional performance

SLIDE 76

Salary ranges will

- Demonstrate to your staff the opportunity for progression
- Top performers can move to the higher end of their salary range and should advance gradually to the top of the salary range
- Guides the managers on how to progress staff through the ranges

SLIDE 77

Sample Salary Ranges

Job Level	Minimum	¼	Midpoint	¾	Max
	Entry-Level Hiring Range		Fully Qualified FULLY PROFICIENT	Long-term Superior Performance	
1	23,000	24,000	25,000	26,000	27,000
2	26,000	32,000	38,000	43,000	50,000
3	40,000	50,000	60,000	70,000	80,000
4	65,000	78,750	92,500	106,250	120,000
5	100,000	125,100	150,000	175,000	200,000
6	175,000	202,500	230,000	257,500	285,000
7	250,000	281,250	312,500	343,750	375,000

SLIDE 78

Communicate the System to Employees

- Explain the process
- Introduced new employees to the salary system as part of the orientation process
- Emphasize fairness and link this to performance standards

SLIDE 79

Maintain the Salary System

- Guide managers to ensure salaries are within the salary range and properly reflect the employee's qualifications

- Review job descriptions annually for significant changes

- Periodically survey market peers 2-3 years to ensure that your compensation package remains competitive.

SLIDE 80

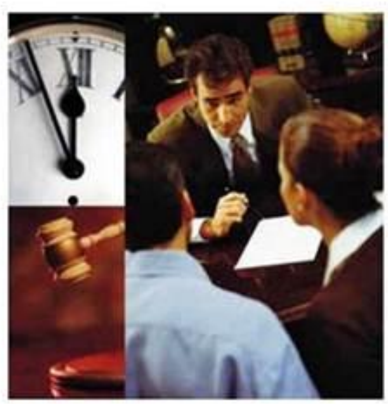
Benefits

- Complements salary
- Monetary or non-monetary compensation that should be valuable to the employee

SLIDE 81

Stop, Think and Do

- What are the benefits you provide?
- What are the advantages of providing benefits?



SLIDE 82

Examples of Benefits

- Health insurance
- Life insurance
- Paid vacation time or vacation leave
- Retirement benefit
- Transportation allowance
- Housing allowance
- Employee loans
- Sick leave
- Maternity/ paternity leave

SLIDE 83

Advantages of Benefits

- Attract candidates
- Provide a higher after-tax income
- Provide quantity or volume discounts
- Promote employee performance and security
- Reflect the MFI's sense of responsibility for staff
- Reinforce management's philosophy

SLIDE 84

Determining Benefits Suited for MFI

- Consider these factors: industry standards, employee preferences, institutional culture, costs of benefits, budget and salary levels
- Be cautious as benefits become fixed cost
- Communicate clearly to staff the benefits and how they are availed

SLIDE 85

Incentives and Rewards

- Incentive systems permit employees to benefit when the institution benefits
- Highlighting desired employee behaviors through incentives, rewards and recognition, can effectively motivate and encourage staff

SLIDE 86

Incentives Should be Motivating

- Promotes challenging yet attainable objectives with measurable indicators
- Correlates with operational goals
- Reflects institutional culture, clientele, products, services, objectives
- Includes all staff and balances individual and team incentives
- Reflects social norms and employee preferences
- Should be based on the average employee, and scheduled during slack months

SLIDE 87

How about rewards/ recognition?

- What non-financial rewards are you providing or could provide?

SLIDE 88

Non-financial reward options

- Letter of congratulations
- Funding for a training
- Verbal recognition at a staff meeting
- Thank you card
- Small gift or token (mug, shirt, cap) with logo
- Written recognition and posted at bulletin board or sent to all via email
- Award for years of service
- Job enrichment
- Team building events

SLIDE 89

Module 5

TRAINING AND DEVELOPMENT

SLIDE 90

Training and Development

- Increasing employee capacity (knowledge, skills and attitude)
- A successful MFI must commit to creating a continuous learning culture within their institution

SLIDE 91

Training and Development

- TRAINING is the acquisition of knowledge, skills and attitude that improve performance in the current job
- DEVELOPMENT focuses on acquiring knowledge and attitudes that may be required in the long-term achievement of an individual's career goals

SLIDE 92

Development

- Training for a specific skill
- Development of leadership abilities
- Coaching or mentoring
- Reviewing resources and materials
- On site field visits
- Performance management

SLIDE 93

Benefits of Training

- Improves effectiveness and efficiency of staff
- Eases the introduction of new technology or methodology
- Standardizes work processes to increase efficiency
- Reduces costs by decreasing turn-over and increasing efficiency
- Increases adaptability to change
- Helps retain employees who identify with the MFI's mission and culture

SLIDE 94

Benefits of Training (Individual)

- Increases job satisfaction through a thorough understanding of the tasks to be performed
- Improves self confidence
- Increases morale which contributes to a desirable work environment

SLIDE 95

Benefits of Development

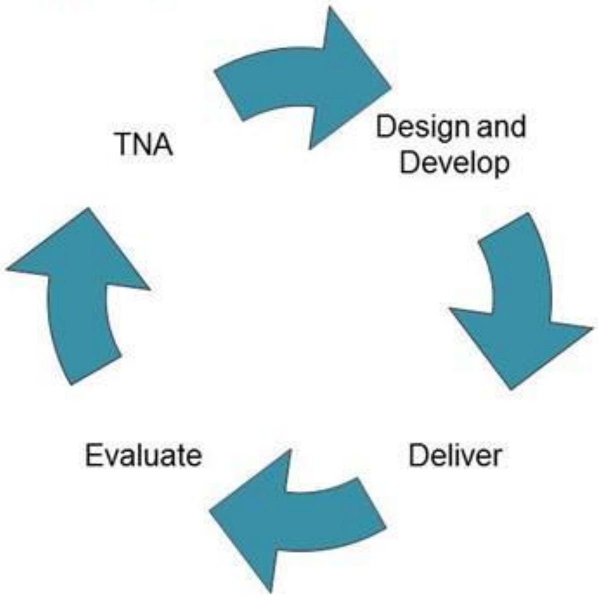
- Strengthens the institution's competencies and leadership bench
- Fosters involvement and increases commitment

This could be in the form of on-the-job exposure, additional assignments, special projects or on-the-job training.

Regular coaching by the manager is also a very good development tool, as well as the understudy program.

SLIDE 96

Training Cycle



SLIDE 97

Identifying Training Needs

- Performance analysis – pinpoints the causes of job performance problems
  - What is happening
  - What should be happening
  - What is the difference between what is happening and what should be happening (gaps)?
  - How important is the difference?
  - What is the likely cause (or causes) of that difference?

SLIDE 98

Identifying Training Needs

- Identify the need
  - Is it lack of knowledge, skill, or appropriate attitude?
  - Is training the solution?

SLIDE 99

Training Design and Development

- Define Objectives – should describe what trainees should be able to do after the training
- Prepare course outline
- Prepare instructional design
- Make presentation materials, activity sheets, handouts, quiz/ test

SLIDE 100

Stop, Think and Do

- Write three (3) instructional objectives
- Make a course outline

SLIDE 101

Training Delivery

- Classroom
- On-the-job training
- Online/ E-learning
- Blended

SLIDE 102

Training Evaluation

- Reaction – gauge of how well the participants appreciate the training
- Learning – determine whether trainees learned the concepts or skills (could be done by administering tests, graded hands-on exercise, assignments, etc.)

SLIDE 103

Training Evaluation

- Results – used to determine training's payoff for the company. Example: reduced cost related to employee turnover or accidents, increased production or improvement in customer service
- ROI – comparing training's monetary benefits with its cost

SLIDE 104

Responsible for Training and Development

- Everyone is responsible for training and development
  - Employee
  - Employee's manager
  - HR

SLIDE 105

Module 6

The HR Professional

SLIDE 106

The Human Resource Management Professional

- Managing human resources is a shared responsibility between HR Department or HR professionals and line managers
- HR professionals must create and add value to the organization (employees, customers, and shareholders) and install measures for their performance
- HR should deliver results

SLIDE 107

HR Roles in Building a Competitive Organization*

Future/ Strategic Focus

	Management of Strategic Human Resource	Management of Transformation and Change	
PROCESSES			PEOPLE
	Management of Firm Infrastructure	Management of Employee Contribution	

Day-to-Day/ Operational Focus

**By David Ulrich in his book HR Champions*

SLIDE 108

Definition of HR Roles*

Responsibility	Deliverable	Role	Activity
Management of Strategic Human Resource	Strategy Execution	Strategic Partner	Aligning HR with business strategy
Management of Firm Infrastructure	Efficient Infrastructure	Administrative Expert	Reengineering organization processes
Management of Employee Contribution	Increased employee competence & commitment	Employee Champion	Listening and responding to employees
Management of Transformation and Change	Renewed organization	Change Agent	Ensuring capacity for change

**By David Ulrich in his book HR Champions*

SLIDE 109

What else?

- We have to be credible
- We should be role models

SLIDE 110

Behaviors that enhance credibility

- Accuracy
- Consistency
- Ability to deliver commitments
- Chemistry
- Confronting appropriately
- Integrity
- Thinking outside the box
- Confidentiality
- Listening to and focusing on business challenges

SLIDE 111

Thank You!

SLIDE 112

HANDOUTS

Handout 1
Job Description Template

JOB DESCRIPTION TEMPLATE

JOB TITLE:
DEPARTMENT:
NAME OF INCUMBENT:
REPORTS TO:
SUPERVISES: (number of employees)

JOB SUMMARY
State the general nature, level and purpose of the job and provide a brief description of the duties and responsibilities. This paragraph will be used for job posting. It may be easier to write the general summary after completing other sections of the job description.

REPORTING RELATIONSHIPS
If applicable, provide the number of employees and the jobs of the staff reporting to this job.

DUTIES & RESPONSIBILITIES (ESSENTIAL JOB FUNCTIONS)
Identify the functions or tasks that employee in the job performs. The essential functions should state the purpose of the work and the results to be accomplished, rather than how the function is performed. Of the tasks listed, what percentage of time is devoted to each? The more time employees spend on a function, the more likely it is that the function is essential. Generally, include those functions that account for 10% or more of the work, i.e., key items that contribute significantly to the achievement of the job.

OTHER FUNCTIONS AND RESPONSIBILITIES
Duties listed in this section are not essential or intrinsic to the job but are performed at times. Included in this section should be a general statement such as. “Perform other duties as assigned.” This phrase allows the supervisor to assign sporadic or one-time tasks as needed.

QUALIFICATIONS (EDUCATION, EXPERIENCE, COMPETENCY)
Identify the minimum education, experience, skills, knowledge and abilities required to competently perform the job duties. **Please complete this section in bullet form** and include suggested minimum years of related experience, e.g. "Previous experience in banking or financial institution required (usually 3-5 years)." Or, "Five to seven years project management experience".

INCUMBENT’S SIGNATURE: ______________________________________
Signature Over Printed Name

APPROVED BY: ____
Supervisor’s Signature Over Printed Name

Handout 2
Application Form

(Company Logo) P E R S O N A L D A T A S H E E T	**TEST RESULT** **Rating:** **Equivalent:**	PHOTO

Source of Application:
[ ] Online (email, website, Jobstreet) [ ] Walk-in
[ ] Referral ___________________ [ ] Others (Job Fair, Newspaper ads, etc.) ______________

PERSONAL DATA *(Please Print)*

Name (*Last*)	(*First*)	(*Middle*)	Nickname
Present Address (No.)	Street	City or Province	Telephone
Permanent Address (No.)	Street	City or Province	Telephone

Date of Birth	Place of Birth	Religion	Age	Sex	Status	Ht.	Wt.

Nationality	If Alien, ACR No.	Passport No.	Issue Date of Passport	Do you own a car? __yes __no	Do you drive? _yes _no	Do you have a valid driver's license? ___ yes ___ no if yes, indicate license no. _____________

Tax Identification No.	SSS No.	PhilHealth No.

Special Talents	Language Spoken/Understood
Computer Knowledge	Hobbies/Interest/Sports

EDUCATIONAL BACKGROUND

Name of School	Address of School	Period Covered	Awards/Honors/Citations
ELEMENTARY			
HIGH SCHOOL			
COLLEGE			Course/Major/Minor
VOCATIONAL/TECHNICAL			Details
POST GRADUATE			Details

Government Exams Taken - Date/Rating: (Indicate license no.)		

TRAINING/PRACTICUM/RESEARCHES

Title	Dates	Remarks/Details
Title	Dates	Remarks/Details

CO-CURRICULAR/EXTRA-CURRICULAR ACTIVITIES/GROUP ASSOCIATIONS

Group Name/Activity	Period Covered	Position Held	Remarks

EMPLOYMENT HISTORY (From present to previous)

Name of Company	Address		Tel. No.	Nature of Business	Reason for Leaving/Resigning
Entry Position	Period Covered	Basic Salary	Allowances	Others	Name of Supervisor
Last Position					
Name of Company	Address		Tel. No.	Nature of Business	Reason for Leaving/Resigning
Entry Position	Period Covered	Basic Salary	Allowances	Others	Name of Supervisor
Last Position					
Name of Company	Address		Tel. No.	Nature of Business	Reason for Leaving/Resigning
Entry Position	Period Covered	Basic Salary	Allowances	Others	Name of Supervisor
Last Position					
Name of Company	Address		Tel. No.	Nature of Business	Reason for Leaving/Resigning
Entry Position	Period Covered	Basic Salary	Allowances	Others	Name of Supervisor
Last Position					

How soon can you start? ☐ Immediately ☐ End of the month ☐ Days after notification :____	Salary desired:

FAMILY DATA

Spouse's Name	Address	Company Name/Position	Age	☐ Living ☐ Deceased

Father's Name	Address	Company Name/Position	Age	☐ Living ☐ Deceased
Mother's Name	Address	Company Name/Position	Age	☐ Living ☐ Deceased
Brother/Sister	Address	Company Name/Position	Age	☐ Single ☐ Married
Brother/Sister	Address	Company Name/Position	Age	☐ Single ☐ Married
Brother/Sister	Address	Company Name/Position	Age	☐ Single ☐ Married

CHILDREN/DEPENDENTS

Name	Age	Relationship	Name	Age	Relationship
Name	Age	Relationship	Name	Age	Relationship

CHARACTER REFERENCES - *not former employers or relatives*

Name	Business Address or residence	Tel. No.	Relationship	Occupation
Name	Business Address or residence	Tel. No.	Relationship	Occupation
Name	Business Address or residence	Tel. No.	Relationship	Occupation

FRIENDS AND RELATIVES EMPLOYED WITH THIS COMPANY OR ITS SISTER COMPANIES

Name	Relationship	Position	Company

ADDITIONAL INFORMATION:

1) Have you ever been convicted of a crime involving moral turpitude? ☐ Yes ☐ No
   If yes, please specify____
2) Do you have any pending administrative / criminal / civil case before any court or quasi-judicial body?
   ☐ Yes ☐ None If yes, please give details. ____
3) Were you ever treated for any communicable diseases, alcohol, or drug use? ☐ Yes ☐ No
   If yes, please specify. ____
4) Are you aware of any physical condition that may hamper your ability to discharge your work responsibilities?
   ☐ Yes ☐ No If yes, please give details. ____
5) Have you undergone any minor or major operations? ☐ Yes ☐ No
   If yes, when? Please specify. ____
6) Have you been issued clearance from all your previous employment? ☐ Yes ☐ No
   If no, why? Please specify. ____

IMPORTANT NOTICE: Non-submission of clearance from your previous employment within 3 months from date of hire shall affect your employment status.

All the information I have supplied in this form are, to the best of my knowledge, true and correct. I understand that any contract or agreement entered between the Company and me will be predicated upon the truthfulness of the statements contained herein. I understand further that any deliberately untrue information given can become a basis for my dismissal if/when hired.

If employed, I promise to undertake and abide by the rules and regulations set and prescribed by the organization, including transfers and assignments to other location or subsidiaries the company deems best, and adherence to the pertinent provisions.

____
Applicant's Signature

____
____

ATTENTION: Head – Human Resource Management

Gentlemen:

This shall serve as my formal authority to disclose to (name of organization) or its duly authorized Background Investigation agency any matters pertaining to my previous employment with you for purpose of conducting pre/post-employment background checking.

Very truly yours,

______________________ ______________________
Signature over Printed Name Date of Filing

Handout 3
Sample Interview Form

Sample Interview Questions

Asking the right interview questions will:
• Confirm the candidate's education, training, and experience listed in the resume
• Provide information about the candidate’s past performance and accomplishments
• Indicate the candidate's compatibility with the culture of your organization (for example, work pace, work style)
• Offer insights into the reasons behind the candidate's desire to change jobs
Responses to key questions should be probed further and confirmed through subsequent reference checks.

Questions NOT to ask
You must avoid asking unintentionally discriminatory questions. Questions to avoid include, but are not limited to:
• What year did you graduate from high school or post-secondary school?
• Where were you born?
• Where did you learn a foreign language?
• What are your child care arrangements?
• What are your religious practices?
• How many days did you miss because of illness last year?
• Do you have any disabilities?
• Have you ever been arrested?
• Are you planning to have children anytime soon?
• Are you responsible for parental care?
• Do you have senior parents or another family member that depends on you?

Behavioral questions
Behavioral interviewing techniques probe beyond superficial answers. They require candidates to assess themselves and recall examples of behavior. Most behavioral questions are formed as either self-appraisal queries or situational queries, as shown in the examples below:
• Self-appraisal query: If you had the choice of working in a job with peaks and valleys in the workload or a job with a steady volume of work, which would you choose and why?
• Past situational query: Tell me about a time when you had to make a critical decision in your supervisor's absence. How did you handle it?
• Future situational query: Give the candidate a scenario of a current or past problem that your organization has had to address. (The problem should be related to the position being staffed.) Ask the candidate to describe how they would handle the situation or resolve the problem.

Open-ended questions
These questions require an explanation from the candidate. Open-ended questions begin with words such as "what," "why," "how," "describe," and "explain." For example:
• What is the greatest asset you will bring to this job?
• What is the most important thing you do at your current job?
• Describe the last time you had a short deadline and explain how you handled it.
• How have you had to adapt to your job’s changing needs?

Neutral questions

Neutral questions do not reveal a bias toward an acceptable or correct answer. For example: If you had to choose between one extreme or the other, would you want a supervisor who leaves you alone to get your work done and only wants to hear from you if there's a problem, or would you prefer someone who meets with you regularly to help you focus on your goals for the day or week?

Yes or no questions
Use questions that can be answered with a "yes" or "no" to confirm information you already have. In general, use these types of questions sparingly because they don't add new information. For example: Were you with XYZ organization 10 years before you relocated to Red Deer?

Follow-up questions
After a candidate answers a question, follow up with another question that probes their attitudes or delves further into the issue. For example, you may start with a broad question: "What are your responsibilities as the administrative assistant?" A candidate may respond with a list of duties such as: answer phones, type, keep the calendar, arrange travel, and file documents. Although this information confirms the resume, it does not give information about the relationship with the supervisor, consequences of actions, or pride in work output. To get this kind of information, ask follow-up questions, such as: What aspects of your job are most crucial? How many hours a week do you find you need to work to get your job done?

Other questions
• What challenges do you think you'll face in this job?
• What concerns you about this job?
• What is your long-term career plan?
• What do you think it takes to be successful in an organization like this?
• How long will it take before you can contribute to this organization?
• Why are you seeking a new job?
• If you are offered this job, what factors will influence whether you accept it or not?
• This position will require developing and implementing some changes to our way of doing things. How will you help make the transitions smooth?
• If I were to call up your previous boss, what would they tell me is your strongest quality and why?
• Describe a situation in the past where you had to resolve a difficult situation with a colleague and explain how you went about it?
• Tell me what you did in your last/current job?
• Why do you wish to leave that position or why did you leave that position?
• Where do you see yourself 5 years from now?

Handout 4
Recruitment Selection Checklist

Staffing action for:	*Name of position*

Before you recruit

- Review the organization's recruitment and selection policy and/or practices
- Review the strategic and operational plans to determine if the position should be filled
- Confirm that funding exists to recruit for and staff the position
- Obtain the necessary approvals to staff the position
- Develop a job description if the position is new
- Review and update the job description for an existing position
- Decide on the type of employment (full-time; part-time; permanent; contract; short-term; etc)
- Identify constraints that will have an impact on the staffing process (need someone soon; specialized skills; supply/demand, etc)

Establish the recruitment and selection criteria

- Develop recruitment and selection criteria based on the job description
- Establish the minimum qualification for the position
- Review all recruitment and selection criteria to ensure they are job-related and measurable
- Ensure that all recruitment and selection criteria comply with Human Rights Legislation

Recruitment process

- Determine the best method for recruiting for the position
- Draft the job announcement using the job description, minimum qualifications and selection criteria
- Include the following in the job announcement:
  - Application deadline
  - Request for references
  - Start date
  - Salary range
  - Contact information
  - Format for submission
- Ensure that the job announcement complies with Human Rights Legislation

Selection process

Before the interview

- Plan the interview process:
  - Number of rounds of interviews
  - Number of interviewers
  - Length of the interview
  - Location of the interview
  - Date of the interviews
  - Any materials the candidate should bring to the interview
- Ask colleagues to sit on the interview panel
- Give the interview panel the logistical information about the interviews

- Develop the interview questions
- Prepare an interview rating guide
- Develop a reference check guide
- Prepare a reference release form
- Ensure that the interview questions, reference questions and other selection criteria comply with Human Rights Legislation
- Prescreen applications using the selection criteria
- Set up the interviews with the selected candidates
- Forward the applications of those candidates being interviewed to the interview panel
- Forward the interview questions and interview rating guide to the interview panel
- Meet with the interview panel to brief them on the interview process

Conduct the interview

- Review the candidate's application before each interview
- Welcome the candidate to the interview
- Introduce the interview panel
- Explain the interview process
- Rate the candidate's responses to the questions
- Give the candidate an opportunity to ask questions
- Close the interview by explaining the next step and thanking the candidate for coming to the interview
- Ensure that the discussion and the note taking during the interview complies with Human Rights Legislation

After the interview

- Finalize your interview notes

Select the right candidate

- Use other selection methods as appropriate
- Telephone the references
- Use the reference checking guide to document the conversation
- Ensure that the discussion and the note taking during the reference check complies with Human Rights Legislation

Conclude the staffing process

- Make your decision and review it
- Make a verbal offer of the position to the selected candidate
- Follow-up the verbal offer in writing
- Prepare the job contract and have it signed before the new staff member starts work
- Send out rejection letters to the other candidates that were interviewed
- Set up a competition file
- Complete the paperwork necessary for the new staff member to start work

A national organization agreed to post this policy on www.hrcouncil.ca as part of the HR Toolkit. Sample policies are provided for reference only. Always consult current legislation in your jurisdiction to create policies and procedures for your organization

Handout 5
Orientation Checklist

Employee name	
Position	
Start date	

Prior to start

- Advise Board members and staff of the new employee's name, position, and start date
- Arrange for a workspace
- Equip the workplace with the necessary furniture, equipment and supplies
- Ensure that all equipment is working
- Set up an e-mail address
- Set-up a telephone extension
- Add the employee to organizational lists – telephone, e-mail
- Make a copy of the job description
- Gather information, reports, etc to give the person on the first day
- Ensure the staff handbook is up-to-date
- If the employee will need a key to access the office, arrange to have it ready for the first day
- Contact the new employee to confirm where and when they should report on the first day
- Set up the orientation team – who will be doing what for the orientation
- Decide what meaningful tasks the new employee will start on and prepare the necessary background material

First day

- Keep your schedule as free as possible for the first day

Getting Started

- Welcome the new employee
- Outline the orientation process for the day
- Introduce the new employee to his/her coworkers
- Introduce the new employee to his/her 'buddy'
- Give the employee a tour of the assigned workspace and the rest of the office/facility including:
    - Where to safely put belonging (if not in their office)
    - Where to hang coat, store lunch; location of the washrooms
    - Location of the photocopier, fax machine, and supplies, etc.

Organizational Overview

- Overview of the organization
- Organization Chart

Job Duties and Responsibilities

- Review the employee's job description and expected outcomes

- Explain how the job is related to the other jobs in the organization
- Give specific outcomes for the first day such as a look at the organization's website, review of a specific document, etc.
- Identify the work that needs to be accomplished in the first week
- Give the employee reports, information that is need for the job and explain what each item is

Work expectation
- Start and finish times
- Lunch time
- Probationary period
- Safety procedures, as appropriate

Administration
- Complete the necessary paperwork for pay and benefits
- Complete other paperwork as required
- Identify options for parking
- Provide password for equipment as appropriate

Other
- Review health and safety procedures
- Allow for time for the new employee to set up their workspace, review the materials you have given, etc.
- Take the employee out to lunch
- Have a task planned for the first day

First two weeks
- Check to see if there are any problems with equipment or the workspace
- Ensure that the employee has met all the other staff members
- Review the performance management system
- Order business cards, if appropriate
- Tour other sites of the organization, if applicable
- Explain the internal communication process including staff meetings
- Have the employee review the policies and procedures manual
- Explain how absences are called in and covered, telephone and e-mail protocol, internet use policy
- Explain the travel and reimbursement process
- Ask if the new employee has any question or if there is anything that needs to be addressed
- Confirm that the employee understand what is expected – duties and responsibilities
- Review all fire and safety procedures

First six months
- Review probation procedures
- Schedule regular meetings with the new employee to ensure that they are on track
- Establish performance expectations

Handout 6
Key Result Areas Form

2011 Key Result Areas
Name:
Position:
Group/ Unit:

1. **Achievement of the KRA items will be evaluated as part of the individual performance at the end of the year.**
2. **List all the key result areas, giving weight for each of the objectives based on importance. The total weight of all KRA items should be 85%. The other 15% will be for be Leading and Growth Indicators (behavioral aspects) that will be reflected during the appraisal process.**
3. **Fill out "Value Added Factors" to describe the significant steps that will be undertaken to efficiently and effectively achieve the specific KRA.**
4. **Use the column on Performance Standards/ Verifiable Terms to indicate target amount/ volume/ growth rate/ rating or score/ deadline**

Key Result Area *(Result that you want to achieve for the period)*	Value Added Factors *(Describe how you are going to efficiently and creatively achieve the desired result)*	Performance Standards/ Verifiable Terms *(Standards-- quantity, quality and timeline-- you have to meet in attaining your objectives)*	**Weight**
BUSINESS SUPPORT TARGETS			**60%**
INTERNAL INDICATORS			**15%**
Satisfactory Audit Rating			**2.5**
Work Simplification Initiatives/ improvements -			**2.5**
Minimal attrition rate		**1 or 20%**	**10**
EXTERNAL INDICATORS			**10%**
Improved customer service delivery			**5**
Satisfactory Customer Satisfaction rating (SAF rating) Internal Customers			**5**

Employee's Name and Signature

Date:

President/ Group Head's Name and Signature

Date:

2011 Key Result Areas
Name:
Position:
Group/ Unit:

1 Achievement of the KRA items will be evaluated as part of the individual performance at the end of the year.
2 List all the key result areas, giving weight for each of the objectives based on importance. The total weight of all KRA items should be 80%. The other 20% will be for be Leading and Growth Indicators (behavioral aspects) that will be reflected during the appraisal process.
3 Fill out "Value Added Factors" to describe the significant steps that will be undertaken to efficiently and effectively achieve the specific KRA.
4 Use the column on Performance Standards/ Verifiable Terms to indicate target amount/ volume/ growth rate/ rating or score/ deadline

Key Result Area (***Result*** *that you want to achieve for the period)*	**Value Added Factors** *(Describe* ***how*** *you are going to* ***efficiently*** *and* ***creatively*** *achieve the desired result)*	**Performance Standards/ Verifiable Terms** (***Standards - quantity, quality and timeline-*** *you have to meet in attaining your objectives)*	**Weight**
BUSINESS INDICATORS			**50%**
INTERNAL INDICATORS			**20%**
EXTERNAL INDICATORS			**10%**

Employee's Name and Signature	Department Head's Name and Signature	Group Head's Name and Signature
Date:	Date:	Date:

Handout 7
Officer Appraisal Form

Balanced Score Card - Performance Appraisal

Name		**Position**	
Unit/Group		**Rating Period**	

Part A	**Instructions:** 1. Performance targets are to be agreed upon, prior to or at the start of the rating period. 2. Each ratee will be evaluated on four perspectives; relevance of the perspectives is dependent on ratee's function. Weights applied on each area of the four perspective are likewise dependent on ratee's function 3. For result areas with numeric targets, the worksheet will automatically compute for the scores; only the actual production figures need to be changed. Financial targets and actual production figures are to be provided by Corplan, while audit rating is to be provided by Audit Croup. 4. Evaluator will have a free hand in assigning a score on leading and growth targets, subject to attachment 1. 5. In exceptional cases, wherein the resulting score is not reflective of ratee's performance, additional merit points (maximum of 2 points) may be granted to ratee; evaluator should be able to justify such in the "OTHER INFORMATION" box.

KEY RESULT AREAS				**REMARKS**	**Raw Score**	**Weights**	**SCORE**
1	**Financial Indicators/Project Accomplishments**	**Target**	**Actual**			**60.00%**	**0.00**
	1.1					30.00%	0.00
	1.2					15.00%	0.00
	1.3					10.00%	0.00
	1.4					5.00%	0.00
2	**Internal Indicators**	**Target**	**Actual**			**10.00%**	**0.00**
	2.1 Audit Rating					0.00%	0.00
	2.2 Operational Efficiency					5.00%	0.00
	2.3 Work Simplification initiatives					5.00%	0.00
3	**External Indicators**	**Target**	**Actual**			**15.00%**	**0.00**
	3.1 Customer Satisfaction- individual rating, to be given by Unit Head					7.50%	0.00
	3.2 Customer Satisfaction - unit rating for support units to be provided by Customer Care Center					7.50%	0.00
4	**Leading and Growth Indicators**					**15.00%**	**0.00%**
	4.1 Personal Mastery					5.00%	0.00
	4.2 Inter Personal Mastery					5.00%	0.00
	4.3 People Management					5.00%	0.00
	4.4 Strategic Perspective					0.00%	0.00
						0.00%	0.00
Total Score						**1.00**	**0.00**

5. OTHER INFORMATION

Part B	Development Plans		
1 Employee's Principal Strengths			
2 Employee's Principal Development Needs		Action Plans	Target Dates

Part C	Comments, Recommendations and Signatures
1 Evaluator's Comments	
2 Next Level Supervisor's Comments	
3 Employee's Comments	

Rating Scale:		Overall Rating			
Score		**Description**	**From**	**To**	
1	Outstanding	Consistently far exceeds req'ts	1.50	1.00	Employee's Name and Signature /Date (Phase 1)
2	Very Good	Exceeds most requirements	2.00	1.51	Employee's Name and Signature /Date (Phase 2)
3	Good	Fully meets job requirements	3.00	2.01	
4	Fair	Usually meets all job requirements	4.00	3.01	
5	Needs Improvement	Does not meet minimal req'ts	5.00	4.01	Evaluator's Name and Signature /Date

Leading and Growth Dimensions (Please accomplish separate rating sheet)

1. Personal Mastery

a) Consider the degree to which the employee demonstrates the following Corporate Values:

- Concern for Others - Leadership - Integrity
- Excellence - Teamwork - Openness to Change

b) Pro-activeness - taking initiative; accepting responsibility for one's behavior and making choices and decisions based on principles, goals, values and priorities rather than on moods and circumstances

c) Consider attendance and punctuality

d) Consider whether employee takes active role in his development thru attendance of seminars/lectures, participation in projects, etc.

2. Interpersonal mastery

- thinking win-win rather than adversarial; cooperating and synergizing; considers employee's general behavior towards superiors, peers and clients.

3. People Management - how well the supervisor/officer:

a) leads staff towards accomplishment of unit's goals

b) motivates staff to do a good job

c) trains, coaches and develops staff - consider whether supv/officer allows/sends his people for training

d) disciplines staff in a positive way

e) conducts goal-setting, performance assessment and monitoring

f) resolves internal conflicts and problems

4. Strategic Perspective (for senior officers) ability to set proper directions and courses of action that are aligned with the bank's overall thrusts; this also considers officer's ability to look at the business from a macro view and recommend initiatives that impact positively on the bank's overall performance

Handout 8
Individual Development Plan

Individual Development Plan (IDP)

Instructions
Once you have completed your Self-assessment (Step 1) and an Assessment of Your Position and Your Work Environment (Step 2) as outlined in the Individual Development Planning Process, you are ready to fill in the IDP form (next page).

Remember that the purpose of your IDP is to:
- Set priorities for your career development;
- Identify goals that are mutually beneficial to you and your employer;
- Select the best available activities and the resources needed to help you achieve your goals;
- Set a timeline for achieving your goals.

The sections of the IDP form are:
Developmental Goals for the Next Year
- What do you want to achieve?

Relationship of Goals to the Organization's Goals
- How will the organization benefit from your development goal?

Knowledge, Skills, Abilities to be Developed
- What will you learn?

Developmental Activities
- What are the best development activities for the goals that you have identified?

Resources
- What resources are required for you to engage in the development activities – time, funds, help form others, and so forth?

Date for Completion
IDPs are usually written for a one -year period, but some employees prefer to set short-term (1 year), medium-term (2 years), and long-term (3 years) goals. The longer time frame may be necessary if, as a goal, you want to earn a degree or certification in your field.

Individual Development Plan

Name: ___________________________

Developmental Goals for the Next Year	Relationship of goal to the Organization's Goals	Knowledge, Skills, Abilities to be developed	Developmental Activity	Resources	Date for Completion
Goal 1:					
Goal 2:					
Goal 3:					

______________________________ ______________
Employee's Sigature Date

______________________________ ______________
Manager's Signature Date

Handout 9
Sample Training Needs Analysis Sheet

DIAGNOSTIC QUESTIONS

Please answer the following questions which will help us design a meaningful workshop for your team. Your answers will be for the facilitator/s use only and will be kept strictly confidential. Thank you.

1. What is your position in the company and how long have you been working here?	
2. Have you ever attended a sales or negotiating training skills workshop? If NO, what kind of workshops have you attended?	
3. What products / services do you offer?	
4. Is sales/marketing your primary job function? If NO, what is your primary job function?	
5. Does your job put you in direct contact with your company's customers? If YES, in what kinds of situations are you in contact with them?	
6. During customer interactions, do you have opportunities to discuss your products and services? If NO, why not?	
7. Do you feel you have problems with your rates/pricing?	
8. Do you deal with corporations, retail consumers, or both?	
9. Who are the people involved in making a decision on the prospect/or client side for them to avail of your products or services?	
10. Who do you usually talk to in your prospect or client company? Do others join them?	
11. Who are your main competitors?	
12. How are your rates compared to your competition? (Are you generally more expensive, less expensive or just at par?)	
13. What are your competitive advantages? Why are you better than the competition? In short, why should I bank with you and not your competitors?	
14. Usually the marketing department studies your competition so that you know what you're up against. Then they summarize the results of the study in what you call a "competitive matrix". Do you have such a "matrix"?	
15. What are the usual objections that you get when prospects say they do not want to avail of your products or services? How do you respond to them?	
16. If you were to be assigned some sales and marketing functions, what specific skills do you think you need to develop?	
17. Give two areas of improvement that you would like to work on in terms of dealing with customers.	
18. Aside from these, what else would you like to achieve in the workshop?	

Handout 10
External Evaluation Form

EXTERNAL TRAINING EVALUATION FORM

Program Title: ______________________________________ Date: __________________

Trainer/Facilitator: __________________________________ Provider: _______________

At the end of the program, please accomplish the training evaluation form. Your feedback will help us assess the usefulness and relevance of the external program you attended. Please submit this to HR on or before ______________________; failure to do so may mean disqualification from attending other external seminars in the future. Thank you.

Using a scale of 1 – 5 , please rate the following items:

5 -	Outstanding	4-	Very Satisfactory	3-	Satisfactory
2-	Below Satisfactory	1-	Needs Improvement		

☐ **Program Objectives:**
Program Objectives were fully met

☐ **Program Content:**
Contents were discussed in full and were clearly explained

☐ **Trainer:**
Subject matter was delivered clearly and concisely

☐ **Facilities:**
Conducive to learning

☐ **Materials:**
Handouts were provided; materials used are updated and relevant

Overall Rating for the Program ☐

What is your most significant learning from the program?

____

____

How do you intend to apply your learning back at the workplace?

____

____

Would you recommend the program to your colleagues? ☐ Yes ☐ No

____
Name & Signature of Participant