Course Name	NQF 5 SAQA ID: 59201
Learning Unit Name	Learner Guide Mobilise and Manage Performance
Learning Unit Code	11300
Unit Standards	252029, 252035, 252034
NQF Level	5
Credits	24

LEARNER GUIDE

MOBILISE AND MANAGE PERFORMANCE

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Dear Learner

This Learner Guide contains all the information to acquire all the knowledge and skills leading to the unit standards:

Unit standard ID:	Unit standard title:
252029	Lead people development and talent management
252035	Select and coach first line managers
252034	Monitor and evaluate team members against performance standards

You will be assessed during the course of your study. This is called formative assessment. You will also be assessed on completion of this unit standard. This is called summative assessment. Before your assessment, your assessor will discuss the unit standard with you.

It is your responsibility to complete all the exercises in the Assessor Guide. The facilitator will explain the requirements of each exercise with you. You will also be expected to sign a learner contract in your assessor guide. This contract explains responsibility and accountability by both parties.

On the document "Alignment to NQF", you will find information on which qualification this unit standard is linked to if you would like to build towards more credits against this qualification.

Please contact our offices if you would like information with regards to career advising and mentoring services.

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Key to Icons

	Important Information
	Quotes
	Personal Reflection
	Individual Formative Exercise
	Group Formative Exercise
	Summative Exercise
	Note-pad: Supplementary Information

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Alignment to NQF

Element of programme	
1. Name of programme	Mobilise and Manage Performance
2. Purpose of the programme	Form part of the qualification to equip supervisors and frontline managers with skills to manage training and development Form part of the qualification to equip supervisors and frontline managers with skills to manage the coaching process To develop competencies amongst managers to manage team and individual performance
3. Duration of the programme	8 days of formal facilitation; 240 notional hours
4. NQF level	5
5. NQF credits	24
6. Specific outcomes	1. Analyse education, training and development needs of members of a unit. 2. Record the results of the training needs analysis. 3. Compile a people development plan for a unit. 4. Manage the implementation of the people development plan of a unit. 5. Select first line manager for a specific position. 6. Plan the coaching process of a first line manager. 7. Coach selected first line manager. 8. Monitor and measure the results of coaching sessions. 9. Formulate performance standards for team members in a unit

	10. Establish systems for monitoring performance. 11. Prepare for a performance review of a team member. 12. Conduct performance review interview.
7. Assessment criteria	US 252029 1.1 The skills gap and training needs of staff in the work unit are determined through the training needs analysis. 1.2 The results from the recent performance appraisal are integrated into the training needs analysis. 1.3 The entity's talent management strategy was used as a basis for conducting the training needs analysis of staff in the unit. 1.4 Stakeholder input was obtained to reach agreement on the interpretation of the results of the training needs analysis. 2.1 The development needs of staff to be addressed through training and non-training interventions are recorded in the training needs analysis report. 2.2 The development needs are related to the career development paths of individual staff members in accordance with the requirements of the entity. 2.3 The development needs are linked to the talent management strategy of the entity. 2.4 The report on the training needs analysis is communicated to interested parties in a usable format.

	3.1 The types of the learning programmes described in the plan are motivated in terms of the development needs identified through the training needs analysis conducted. 3.2 The objectives and desired outcomes of the planned learning programmes are appropriately linked to the needs identified in the training needs analysis. 3.3 The responsibilities for the implementation of the plan and time frames are stipulated to enhance effective implementation. 3.4 The role of the unit manager in relation to talent management and people development within a unit are motivated through practical examples 3.5 The plan is aligned to the legal framework and internal requirements relating to skills development. 3.6 The commitment to promoting lifelong learning within a learning culture is reflected in the development plan. 4.1 The implementation is monitored to track progress against the people development plan and the quality requirements of the national skills development system. 4.2 Implementation reports submitted are analysed to evaluate whether the planned objectives and outcomes were achieved. 4.3 The evaluation of learners and other interested parties is integrated into a final evaluation report with recommendations on improvements. US 252035

	1.1 An analysis is conducted of the job profile to determine the key performance areas for the first line management position. 1.2 Selection and weighting criteria for the Key Results Areas of the first line management position are described on the basis of the job profile. 1.3 Liaison with the recruitment function of the entity is undertaken to ensure understanding of the requirements of the position. 1.4 Interviewing, desk checking, and/or other techniques are used to arrive at a short list of the candidates who applied for the position. 1.5 Decisions are taken and offers made to the selected manager in accordance with organisational policies and procedures 2.1 A coaching plan and schedule is drawn up according to identified priorities in a unit. 2.2 Records of expected performance against the manager's Key Results Areas are prepared to serve as a basis for discussions with the selected manager. 2.3 A system is implemented for recording the decisions, commitments made and other relevant information from the discussions. 3.1 The purpose, content and schedule of the coaching process are explained to the selected 3.2 During the coaching sessions the selected manager's performance is discussed against the Key Result Areas and recorded for future reference.

	3.3 Identified gaps and actions to close them are agreed upon and recorded in the coaching action plan. 3.4 Feedback given to the manager is honest, constructive and supportive. 4.1 Actions agreed to at a coaching session are monitored at the times agreed to during the coaching session. 4.2 Positive feedback is given to the selected manager for accomplishments against the coaching action plan. 4.3 Corrective actions agreed upon are recorded in areas where requirements in the coaching action plan have not been met. 4.4 Follow up action taken on the basis of the manager's response to the coaching is in line with organisational policies and procedures. 4.5 Line managers are encouraged to use the coaching process with people reporting to them after explaining and agreeing a system with them. US 252034 1.1. Performance standards to be achieved by team members are formulated in relation to the unit`s goals, objectives and deliverables. 1.2. Performance standards are clear and concise and specify the activities to be performed and the standards to which they are to be performed. 1.3. Feedback from team members is incorporated into the performance standards to promote the buy-in of team members in a unit. 1.4. Performance standards are recorded and documented according to the entity’s policies and procedures.

	2.1. A variety of performance monitoring systems are identified and reviewed for possible use in a unit. 2.2. The performance monitoring system selected is in line with the entity's policies and procedures for performance assessment. 2.3. The performance monitoring system is communicated to team members to promote buy-in 2.4. The system for monitoring performance against standards is set up in accordance with the entity's policy and procedures. 3.1. The arrangements for the performance review are agreed with team member, including the time, place and nature of the review. 3.2. Preliminary assessment of performance against the agreed standards is conducted using monitoring systems. 3.3. Information gathered during the preliminary assessment is documented to be available for future reference. 3.4. Methods for giving constructive feedback are identified that make provision for reporting positive and negative findings. 3.5. Documents to be used during the review are prepared in accordance with the entity's policies and procedures. 4.1. The review is conducted in accordance with the arrangements previously agreed with the team member. 4.2. Feedback provided to the team member is relevant and fair and communicated in a constructive and supportive manner. 4.3. Findings on positive and negative aspects of the member's performance are recorded accurately, fairly and

	honestly for report back and follow-up. 4.4. An action plan to address performance gaps and build on positive performance is agreed upon with the employee. 4.5. Agreed actions are documented and signed by both parties.
8. Critical cross-field outcomes	• The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in relation to people development processes in a unit. • The learner is able to work as a member of a team in planning, promoting and managing the implementation of people development processes in a unit. • The learner is able to organise and manage him/herself and his/her activities responsibly and effectively in planning and managing the implementation of people development processes in a unit. • The learner is able to collect, organise and critically evaluate information and applying this in relation to compiling a people development plan for a unit. • The learner is able to communicate effectively using visual, mathematics and language skills in the modes of oral and/or written presentations in communicating with all stakeholders on the people development plan of a unit. • The learner is able to demonstrate an understanding of the world as a set of related systems by recognising

	that problem-solving contexts do not exist in isolation in applying knowledge of and insight into people development processes and talent management in a unit. ▪ Identify and solve problems relating to the implementation of a coaching process. ▪ Work effectively with others during coaching sessions with a first line manager. ▪ Organise and manage oneself and one's activities in preparing a coaching schedule. ▪ Collect, evaluate, organise and critically evaluate information concerning applicants for a position. ▪ Communicate effectively in explaining the coaching purpose and process. • Demonstrate an understanding of the world as a set of related systems by guiding the first line manager to understand the interrelationship between work processes. • The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in relation to monitoring the performance of team members. • The learner is able to work as a member of a team in planning, promoting and managing the implementation of a performance monitoring system. • The learner is able to organise and manage him/herself and his/her activities responsibly and effectively in planning and implementing a performance monitoring system. • The learner is able to collect, organise and critically evaluate information and applying this in relation to the monitoring and measuring of the performance of team member. • The learner is able to communicate effectively using visual, mathematics and language skills in the modes of

	oral and/or written presentations in communicating with all team members in relation to their performance.
9. Learning assumed to be in place	▪ Communication at NQF Level 4. ▪ Mathematical Literacy at NQF Level 4. ▪ Computer Literacy at NQF Level 4.
10. Essential embedded knowledge	The knowledge underpinning the above specific outcomes is: o The principles and role of Human Resource Development in building a competent workforce. o A working knowledge of aspects of the legal framework governing skills development and employment equity relevant to people development processes in the entity, including the National Qualifications Framework, Skills Development Act, Skills Development Levies Act, Employment Equity Act and the BBBEE Scorecard. o Knowledge and understanding of the main features of different types of learning programmes, in particular learner ships, skills programmes and non-credit-bearing programmes. o Knowledge and understanding of the main features of different delivery modes of learning programmes. o Principles and features of a learning organisation, learning culture and lifelong learning. o Techniques for conducting training needs analysis. o Negotiation and conflict handling techniques. Learner must show an understanding of:

	❖ Deriving performance requirements from Key Results Areas. ❖ The coaching process. ❖ Feedback techniques. • Methods for formulating key result areas and performance standards. • Types of systems for monitoring performance. • Process for conducting performance reviews. • Methods of giving constructive feedback.
11. Range statement	• The learner is required to apply the learning in respect of his/her own area of responsibility. • Unit refers to the division, department or business unit in which the learner is responsible for managing and leading staff. • Entity includes, but is not limited to, a company, business unit, public institution, small business, Non-Profit Organisation or Non-Governmental Organisation.
12. Recognition of Prior Learning (RPL)	RPL can be applied in two instances: ✓ Assessment of persons who wish to be accredited with the learning achievements ✓ Assessment of learners to establish their potential to enter onto the learning programme.

13. Learning Materials	Learner Guide, Assessor Guide, Learner PoE workbook, Facilitator Guide, Unit Standard Guide
14. Links of the programme to registered unit standards, skills programmes, or qualifications	Registered qualification: Title: National Certificate: Generic Management ID: 59201 NQF: Level 5 Credits: 164

Part 1

Learning Unit 1

Skills Development in an Organisation

Unit Standards	
252029	Lead people development and talent management
Specific Outcomes	
SO1. Analyse education, training and development needs of members of a unit. SO2. Record the results of the training needs analysis. SO3. Compile a people development plan for a unit. SO4. Manage the implementation of the people development plan of a unit.	
Learning Outcomes	
1.1 The skills gap and training needs of staff in the work unit are determined through the training needs analysis. 1.2 The results from the recent performance appraisal are integrated into the training needs analysis. 1.3 The entity's talent management strategy was used as a basis for conducting the training needs analysis of staff in the unit. 1.4 Stakeholder input was obtained to reach agreement on the interpretation of the results of the training needs analysis. 2.1 The development needs of staff to be addressed through training and non-training	

interventions are recorded in the training needs analysis report.

2.2 The development needs are related to the career development paths of individual staff members in accordance with the requirements of the entity.

2.3 The development needs are linked to the talent management strategy of the entity.

2.4 The report on the training needs analysis is communicated to interested parties in a usable format.

3.1 The types of the learning programmes described in the plan are motivated in terms of the development needs identified through the training needs analysis conducted.

3.2 The objectives and desired outcomes of the planned learning programmes are appropriately linked to the needs identified in the training needs analysis.

3.3 The responsibilities for the implementation of the plan and time frames are stipulated to enhance effective implementation.

3.4 The role of the unit manager in relation to talent management and people development within a unit are motivated through practical examples

3.5 The plan is aligned to the legal framework and internal requirements relating to skills development.

3.6 The commitment to promoting lifelong learning within a learning culture is reflected in the development plan.

4.1 The implementation is monitored to track progress against the people development plan and the quality requirements of the national skills development system.

4.2 Implementation reports submitted are analysed to evaluate whether the planned objectives and outcomes were achieved.

4.3 The evaluation of learners and other interested parties is integrated into a final evaluation report with recommendations on improvements.

Critical Cross-field Outcomes
• The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in relation to people development processes in a unit. • The learner is able to work as a member of a team in planning, promoting and managing the implementation of people development processes in a unit. • The learner is able to organise and manage him/herself and his/her activities responsibly and effectively in planning and managing the implementation of people development processes in a unit. • The learner is able to collect, organise and critically evaluate information and applying this in relation to compiling a people development plan for a unit. • The learner is able to communicate effectively using visual, mathematics and language skills in the modes of oral and/or written presentations in communicating with all stakeholders on the people development plan of a unit. • The learner is able to demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation in applying knowledge of and insight into people development processes and talent management in a unit.

Introduction

In 1994 the international community witnessed the birth of a new democracy and welcomed the new South Africa as part of the global village. After the end of apartheid, a new system of education and training was urgently needed in SA to enable the country to compete globally and to redress the inequities created by apartheid.

Because of all the social and economic changes in the world currently and over the past few years, industries have to keep up with international standards and have a dynamic work force. Many countries all over the world are looking for better ways of educating their people and organizing their education and training systems so that they may gain the edge in an increasingly competitive economic global environment. Furthermore, the world is an ever-changing place, politically, geographically and technologically. Success, or even survival, in such a world demands that South Africa has a national education and training system that provides quality learning, is responsive to the ever-changing influences of the external environment and promotes the development of a nation that is committed to life-long learning.

Most industries in South Africa have a great number of unskilled labourers. To remain competitive, industries will need a highly skilled and flexible workforce requiring far greater emphasis on the training and development of the workforce.

The need to find a workable solution for the training and development of the workforce necessitated the creation of a system that is different from past government policies and regulations of the bodies that governed South Africa's education and training.

The outcome was the National Qualifications Framework (NQF) which has been established in order to transform education and training into a flexible and dynamic system. Individuals are now able to obtain qualifications according to individual and employer needs.

The skills revolution in South Africa is governed and driven by a number of laws. The four main laws are:

- The South African Qualifications Authority Act (1995)
- The Skills Development Act (1998)
- The Skills Development Levies Act (1999)
- The Employment Equity Act (1998)

WHY DO WE NEED SKILLS?

- There are problems in the labour market – the way the labour market functions in all countries have challenges and problems.
- There is discrimination – on the basis of race, gender, disability, etc.
- The segmentation in the labour market – the labour market is divided into segments which make it difficult for workers to move around.
- The separation of education and training – there were few links between education and training and skills needed at the workplace.
- Insecure jobs- many workers worked casual, temporary and other kinds of insecure jobs.
- The informal sector – many workers working in the informal sector.
- High unemployment – this was much bigger amongst black people than white people; women than men; able than disable and rural than urban.
- Tariffs and subsidies – SA employers are protected from competition.
- Globalisation – the economies of all countries in the world are becoming more and more linked with globalization.

South Africa needs to adapt its economy and labour markets to societal changes. This country is experiencing demographic (statistics concerning births, deaths, diseases, etc) changes because of things like HIV/AIDS and also because skilled people are leaving the country.

The SA economy will be affected if these societal changes are not planned for and addressed.

- The 15 – 45 age groups are most likely to be affected.
- The demand for skills will increase rather than decrease.
- Lack of skills leads to increased unemployment.
- Crime is linked to unemployment.
- The unemployed should: Be assisted into jobs
- Be assisted into self-employment
- Be assisted into further education/development and training.

ACTIVITY

We are going to have a team competition. Divide into groups of four.

Let us see what do you about Skills Development.

1. What is a SETA?

2. What is a WSP?

3. What is an ATR?

4. Name any two principles of the NQF.

1. THE SOUTH AFRICAN QUALIFICATIONS AUTHORITY ACT (1995)

The South African Qualifications Authority Act No 58 of 1995 (here forth referred to as the SAQA act) was enacted on October 4, 1995. With this act, a juristic person called the South African Qualifications Authority was established and provision was made for a National Qualifications Framework (NQF). Provision was also made for the design of competence-based national qualifications and national standards, and for the development of outcomes-based education and training.

The SAQA act describes the objectives of the NQF and provides details on how SAQA should function - its structure, finances, etc.

The purpose of the SAQA act is to provide for the development and implementation of a National Qualifications Framework (NQF), and for this purpose to establish the South African Qualifications Authority and to provide for matters connected therewith. (SAQA Act, 1995:1).

SAQA's mission is to ensure the development and implementation of a National Qualifications Framework which contributes to the full development of each learner and to the social and economic development of the nation at large (SAQA, 2000).

2. THE SOUTH AFRICAN SKILLS DEVELOPMENT ACT (1995)

The Skills Development Act was passed in 1995 as part of a series of acts that was aimed at promoting the NSDS and addressing key social and economic problems in our country, such as high unemployment and low skills levels. The overall purpose of this act is to develop the skills of the South African workforce, which would improve their prospects of finding work or earning a regular income, which in turn would enable them to enjoy a reasonable quality of life. In addition, the act is aimed at improving the productivity of the workforce, which will stimulate economic growth and raise the competitiveness of South Africa's economy.

This act introduced a planned approach to integrating skills planning at national, provincial, sector and company level. It established mechanisms for encouraging and co-ordinating the skills development processes of small and large private companies, government departments, interest groups, training institutions and key role players in sectors of the economy.

As part of this planned approach, employers are requested to develop annual Workplace Skills Plans, describing the skills priorities in the organisation or company as well as actions planned to address these. The Skills Development Facilitator of an organisation is tasked with co-ordinating the development of the WPSP. This feed into the annual Sector Skills Plan developed by each SETA for sectors of the economy, in which it describes the results of its analysis of the sector skills, together with recommendations and a list of skills priorities for that sector.

2.1 Purpose of the Skills Development Act:

- To develop the skills of the South African workforce
- To increase the level of investment in education and training in the labour market and to improve the return on that investment
- To encourage employers to use the workplace as an active learning environment and to create opportunities for learning for employees and the unemployed
- To encourage employees to participate in learner ships and other training programmes
- To improve the employment prospects of persons previously disadvantaged by unfair discrimination and to redress those disadvantages through training and development/education
- To ensure the quality of education and training in and for the workplace
- To assist work-seekers and retrenched workers to find work
- To assist the employers to find qualified employees
- To provide and regulate employment services

3. THE SKILLS DEVELOPMENT LEVY ACT (1999)

SETAs give grants to cover the cost of learner ships, learning programmes, etc. To do this, they draw on the Skills Levy contributions from their sector, following stringent procedures designed to ensure that the learning matches the principles of the National Qualification Framework.

The Skills Development Act establishes the Skills Levy system to increase the amount of money available for developing skills that are critically needed. Although many companies spend vast amounts on training, many employers do not invest sufficiently in skills development and such funds are not available to the majority of the population.

The Skills Levy act generates funds to be used to develop the skills that are urgently needed in the different sectors of the economy. Every employer contributes 1% of the total payroll to the Skills levy and about 80% of the levies are transferred to the SETAs to be used for skills development. About 20% of the levy contributions are transferred to the national Skills Fund, which is used for national skills priorities such as training of unemployed learners.

The SETAs disburse most of the money received from the Skills levy in the form of grants to the employers within their sectors, to be used for skills development activities such as developing and implementing their WPSP, learner ships and skills programmes. SETAs also use some of this money for other activities aimed at improving the skills levels within their sectors, such as conducting needs analyses on skills priorities and developing systems to promote the quality of learning in the sectors.

The Act states that employers who are registered PAYE contributors and employers whose remuneration exceeds R 500 000.00 per annum contribute 1% of their total payroll towards the Skills Development Levy. In order to ensure adequate funding for skills development, SETAs receive money from the South African Services which is regulated by this Act.

The Department of Higher Education and Training (DHET) collects the skills development levy to fund education and training for socially and economically marginalized groups in SA. 20% is deducted from the levy paid by companies – this is paid into the National Skills Fund. Funding from this source will be used to increase education and training opportunities for access to the formal and informal labour market by women, people with disabilities, rural and unemployed people.

The balance, 80%, is directed to the SETAs. Companies are able to reclaim 50% of their levies if they fulfil SETA requirements in terms of the submission of the Workplace Skills Plan.

4. THE EMPLOYMENT EQUITY ACT (1998)

Recognising that as a result of apartheid and other discriminatory laws and practices, there are disparities in employment, occupation and income within the national labour market and that those disparities create such pronounced disadvantages for certain categories of people that they cannot be redressed simply by repealing discriminatory laws. Therefore, the Act was instituted to:

- Promote the constitutional right of equality and the exercise of true democracy
- Eliminate unfair discrimination in employment
- Ensure the implementation of employment equity to redress the effects of discrimination

- ➢ Achieve a diverse workforce broadly representative of our people
- ➢ Promote economic development and efficiency in the workforce
- ➢ Give effect to obligations of the Republic as a member of the International Labour Organisation.

The purpose of this act is to achieve equity in the workplace by:

- ✓ Promoting equal opportunity and fair treatment in employment through the elimination of unfair discrimination
- ✓ Implementing affirmative action measures to redress the disadvantages in employment experienced by designated groups, in order to ensure their equitable representation in all occupational categories and levels in the workforce.

A designated employer must prepare and implement an employment equity plan which will achieve reasonable progress towards employment equity in that employer's workforce.

This Act ensures that training is equitable. The right to equality is defined in the SA Bill of Rights.

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5. THE NATIONAL QUALIFICATION FRAMEWORK (NQF)

Traditionally "education" and "training" were treated as separated entities with separate and disparate purposes. Education was seen as a means of developing children to become adults and training as the means of preparing adults for the performance of tasks relating to specific types of work. Further fragmentation was caused by racial, ethnic and gender discrimination, which caused unequal standards, lack of access and unequal access at all levels of the system.

5.1 <u>The origins of the NQF:</u>

A basic understanding of the origins of the NQF will help you make easy sense of the functions and structures of the framework.

When the new Government of National Unity came into being in 1994, its intention to transform education and training faced mammoth challenges. The legacy of racial segregation, with all its built-in privileges, inequalities and injustices, had to be undone. But even the privileged white sector lacked true freedom, dominated as it was by a tendency to authoritarian approaches and blinkered thinking. As a result, the heritage of the past was disfigured by a class system in which anything academic and theoretical was regarded as superior (even when it was low grade and not very useful). On the other hand, people with the most useful practical wisdom got very little recognition, were regarded as inferior, struggled to move upwards into higher levels of work, and often could not cross sideways into academic study. In this situation, many of the skills most needed by the country were neglected or downgraded.

In the new order, democratically empowered taxpayers and citizens were expected to insist on a more accountable, meaningful provision of education - the biggest item in the national budget. Progressive educators and trainers, and protesting learners as well, wanted a revolution in the curriculum. Leaders in labour and business wanted South Africa to be a learning nation that was inventive, productive and competitive. The contemporary world increasingly demands that economically active people become flexibly and rapidly responsive to new knowledge. Instead of a world where people finished school and 'never learnt again' what was needed was 'lifelong learning'.

However, education and training systems change slowly and with difficulty. In South Africa's case, structures and hierarchies had to be redesigned, many old departments were merged, and many new departments created. This huge task was challenging enough. Even more challenging was the need for deeper transformation in the interests of equity and quality.

The responses could not have been, and were not, simple. The problems had to be tackled on many fronts: political, legal and professional as well as from the point of view of management.

It was also clear that change would have to be encouraged, supported and demanded by comprehensive systems of assessment and certification. For example, it made no sense to focus learning on developing initiative and problem-solving skills while influential systems of assessment and certification went on requiring memory or rote-learning as the primary indicator of learning. And it would be no good to be striving for equity and mobility if the systems of certification actually stopped people from realising their potential or blocked a rapid responsiveness to the economy's demands for new skills. In many ways, the old systems of qualifications limited access and reinforced unjust advantages and disadvantages, preventing many people from following developmental career paths. This situation had to be changed.

In order to foster such transformation, South Africa took up and adapted from a number of other countries the emerging international practice of making a coherent framework for national qualifications. Over several years of tough negotiation and concept-development by labour and business, state and providers, this idea was forged into the South African NQF.

5.2 The intentions of the NQF

This brief history should already have provided a clear sense of the intentions of the NQF. The NQF is intended to be a significant force in the transformation of education and training in South Africa. At its heart is the quest for equity and quality - two values that cannot in reality be separated. It must draw together different types and areas of learning to give them new status and recognition. It is meant to be nurturing and developmental - to foster improvement in the learning of the nation. However, in order to achieve these things and to tighten up accountability, it also needs authority. This mix of nurturing and discipline is increasingly referred to as 'quality assurance'. To put it in a nutshell, the role of the NQF is to make sure that South Africa's investments in learning of all kinds are worthwhile for all the people of the country.

What is quality? It is far more complex than a 'Rolls Royce' view of quality. The NQF could be said to define quality in terms of its principles and the idea of critical outcomes. After years of debate by stakeholders, these two sets of statements were consolidated and can be found either in the dictionary of the NQF Support Link or in the SAQA publications. Very briefly, the principles express the intention to promote equity, relevance, mobility, transportability and transparency. Qualifications that merely promote narrow technical skills do not have satisfactory quality.

They need also to integrate concerns about social justice and the recognition of human worth, and an appreciation of the values, experience and learning that underpin true competence. The NQF is thus concerned with what some call 'parity of esteem' for learning judged to be at the same level, whether occupational, vocational or academic. From this should follow the possibility of rational choices of learning or career paths without artificial barriers to progress. The critical outcomes are concerned that learning should lead to real competence in problem-solving, working with others, using resources, and understanding environmental and civic consequences and responsibilities of decisions.

However, 'quality' is not fixed, but living, changing, and different depending on what it is applied to. It is also clear that, while we can make sense of a very general notion of quality, real quality is found uniquely in particular practices and products. The NQF had to be designed not only to nurture, promote and demand quality in different sectors of learning to ensure their uniqueness was recognised, but also to ensure they 'talked to one another'. If this complex requirement is understood, it is much easier to understand the structures and functions of the NQF.

5.3 Definition

The NQF is a structure that organises and classifies qualifications and competencies in SA. It consists of registered unit standards and qualifications at eight levels of learning.

5.4 What is the Purpose of the NQF?

The NQF is a means for transforming training in South Africa. It has been designed to:

- Create an integrated national framework for learning achievements. Combining education and training into a single framework and to bring together separate education and training systems into a single, national system.
- Facilitate access to, and mobility and progression within education, training and career paths. Make it easier for learners to enter the education and training system and to move and progress within it.
- Enhance the quality of education and training in South Africa.
- Accelerate redress of past unfair discrimination in education, training and employment opportunities.
- Enable learners to develop to their full potential and thereby support the social and economic development of the country as a whole.
- Recognise learning achievements through informal and formal means.
- Help people gain nationally recognised and portable (transferable) skills.
- Help identify capabilities needed to work.
- Help identify current skills gaps in order to develop training programmes.
- Provide an overview of capabilities needed in a profession.
- Provide employees with access to a career path.
- Improve recognition of prior learning.

5.5 The Underlying Principles of the NQF:

A set of principles has been developed in terms of the National Training Strategy Initiative that will help establish the improved education and training system.

These principles are as follows:

Principle	Definition: Education and Training should ...
Integration	Form part of a system of human resources development that provides for the establishment of a unifying approach to education and training.
Relevance	Be and remain responsive and appropriate to national developmental needs.
Credibility	Have national and international value and acceptance.
Coherence	Work within a consistent framework of principles and certification.
Flexibility	Allow for multiple pathways to the same learning ends.
Standards	Be expressed in terms of a nationally agreed framework and should have internationally
Legitimacy	Provide for the participation of all national stakeholders in the planning and co-ordination
Access	Provide ease of entry into appropriate levels of education and training for all prospective learners in a manner which facilitates progression.
Articulation	Provide for learners, on compliance with accredited prerequisites, to move between components of the delivery system.
Progression	Ensure that the framework of qualifications permits individuals to move through the levels of national qualifications via different appropriate combinations of the
Portability	Enable learners to transfer their credits or qualifications from one learning institution and/or employer to another.
Recognition of Prior Learning	Through assessment, give credit to learning that has already been acquired in a different way, e.g. through life experience.
Guidance of learners	Provide for the counselling of learners by specially trained individuals who meet nationally recognised standards for educators and trainers.

5.6 Structure of the NQF

SAQA has adopted an eight-level framework, with levels 1 to 10 respectively being regarded as open-ended.

The eight levels of the NQF are grouped into the following three bands of learning:

Level 1:	General Education and Training band
Levels 2 to 4:	Further Education and Training band
Levels 5 to 10:	Higher Education and Training band

Descriptors of levels (level 1 — level 10) are statements about intellectual demand, complexity of learning and learners' autonomy. A level descriptor is therefore a description of the competence required on each of the defined learning levels of the NQF.

The degree of detail and generality required in level descriptors depends on their purpose and use.

5.7 Who Benefits from the National Qualifications Framework?

- Learners: Benefit from quality education provision and qualifications that enjoy national recognition and where appropriate, international comparability

- Workers: Benefit from clear learning paths in the qualification structure, to facilitate and support life-long learning and career advancement

- Employers: Benefit from a work force, competent in the skills and attitudes required in the competitive global economy of which South Africa is a part
- Society: Benefits from a proud, learning nation with the intellectual ability to adapt swiftly to change especially technological change.

5.8 Certain structures and bodies are required to standardise the validity claims of learning:

- *The South African Qualifications Authority (SAQA)* is a statutory body, established by an Act of Parliament, and reports to the Ministers of Education and Labour. SAQA oversees the implementation of the NQF and ultimately registers all officially recognised qualifications produced in the country.

- *National Standards Bodies (NSBs) and Standards Generating Bodies (SGBs)* generate and approve descriptions of knowledge, values and skills that are worthy of recognition. To do this, SGBs create 'Unit Standards' and design qualifications made up of Unit Standards. (There are 12 NSBs for different fields of learning.)
- *Education and Training Quality Assurance bodies (ETQAs)* ensure that the knowledge, values and skills described in the Unit Standards and registered qualifications have been properly assessed, and issue certificates. Each Sector Education and Training Authority (SETA) has an ETQA for its specialised fields. Umalusi quality assures all General and Further Education and Training qualifications, and the Higher Education Quality Council (HEQC) all learning from Level 5 upwards.

- *Accredited providers* have the professional capacity to assess learning at the site of learning. The ETQAs have the power to accredit. Accreditation helps to share responsibility for the development and assurance of quality throughout the systems of provision.

Through these structures and powers, the NQF has considerable influence over the way learning is promoted in the country. This influence is extended by the National Skills Development Strategy (NSDS), which has secured unprecedented funding to finance learning in the workplace, especially through Learner ships (which are similar, but also different to, the old apprenticeships). The NSDS, operating especially through the Department of Labour and the SETAs, in principle only supports learning that leads to credits or qualifications on the NQF. The NSDS provides fuel and drivers for achieving the intentions of the NQF.

6. EDUCATION AND TRAINING QUALITY ASSURANCE BODIES (ETQA'S)

Quality Assurance refers to the monitoring and auditing of achievements in terms of the standards or qualifications registered on the National Qualifications Framework. Both the SAQA Act and the Skills Development Act, require that education and training programmes are based on Unit Standards registered on the NQF and where appropriate result in national qualifications on the NQF. Both these acts require that education and training practices are quality assured.

The purpose of quality assurance is to ensure that the highest levels of competence and excellence will be achieved for the money collected in the form of skills development levies.

ETQAs ensure that qualifications and credits awarded in their area of responsibility are up to standard. Their main roles include accreditation, the registration of assessors and the verification of assessment. Each SETA has an ETQA division.

Umalusi is the ETQA for general and further education and training. The HEQC is the ETQA for higher education and training. Various professional bodies also play ETQA roles.

7. WHAT IS A SETA?

The SETAs were established in March 2000 and are responsible for the disbursement of training levies payable by all employers in the country. SETAs replace and extend the work of the old industry training and are accredited by the South African Qualifications Authority.

Every separate economic sector has one SETA. There are 23 SETAs which cover all work sectors in SA including government sectors. The members include: Trade Unions, Government and Bargaining Councils from appropriate industries.
Within its own sector, a SETA must develop and implement a skills development plan, be responsible for quality control and pay out development grants.

Part of the objective of the SETAs is to ensure that the skills requirements of various sectors are identified, and that the adequate and appropriate skills are readily available. They are required to ensure that training is of the appropriate quality, meets the agreed standards as laid out by the national framework and caters for the training needs of new entrants to the labour market as well as the currently employed workforce.

The SETAs are also responsible for a learner ship programme and the implementation of strategic sector skills plans. They have discretionary funds, drawn from their levy income that can be used for projects designed to assist in the achievement of sector priorities, including the design and implementation of learner ships.

8. THE RELATIONSHIP BETWEEN THE NQF AND OUTCOMES BASED EDUCATION

Competency-based training or outcomes-based education is supported by official government policy and by unions, employers and the SETAs. It is only one of a range of changes aimed at making South African workplace more efficient so that we can produce quality goods and services to match the standards of World’s Best practice.

8.1 What is competency-based training?

- Competency Based Training is strongly focused towards helping individuals to develop the knowledge, skills and attitudes to perform specific, defined functions within the workplace

- It is focused on the longer-term outcome of the training and the workplace performance rather than specific training outcomes or the training process itself

The requirements/outcomes of the training are clearly defined and available to all.

- Each individual study only what he/she needs to reach the standards
- There is no requirement for an individual to serve a particular length of time in formal study.

Individuals may therefore develop competence using a wide variety of learning methods and at their own pace.

These factors combined, lead to more responsive, relevant, efficient and accountable training for individuals and organisations.

8.2 Types of competence

SAQA refers to "applied competence" suggesting that foundational competence, practical competence and reflexive competence are all necessary for the meaningful accomplishment of a task in any real-life context.

- *Foundational competence* is described as the understanding of what is being done and why.

- *Practical competence* is described as the ability to do a particular thing.

- *Reflexive competence* is described as the demonstrated ability to integrate or connect performance with the understanding of performance, so as to learn from the actions and adapt to change and unforeseen circumstances.

1 A. <u>Individual Formative Exercise</u>: Aspects of the legal framework governing skills development

1 B. <u>Individual Formative Exercise</u>: National Qualification Framework

Learning Unit 2

Career Development Planning

Career development planning

Unit Standards	
252029	Lead people development and talent management
Specific Outcomes	
SO1. Analyse education, training and development needs of members of a unit. SO2. Record the results of the training needs analysis. SO3. Compile a people development plan for a unit. SO4. Manage the implementation of the people development plan of a unit.	
Learning Outcomes	
1.1 The skills gap and training needs of staff in the work unit are determined through the training needs analysis. 1.2 The results from the recent performance appraisal are integrated into the training needs analysis. 1.3 The entity's talent management strategy was used as a basis for conducting the training needs analysis of staff in the unit. 1.4 Stakeholder input was obtained to reach agreement on the interpretation of the results of the training needs analysis. 2.1 The development needs of staff to be addressed through training and non-training interventions are recorded in the training needs analysis report. 2 2 The development needs are related to the career development paths of individual staff members in accordance with the requirements of the entity. 2.3 The development needs are linked to the talent management strategy of the entity. 2.4 The report on the training needs analysis is communicated to interested parties in a	

usable format.

3.1 The types of the learning programmes described in the plan are motivated in terms of the development needs identified through the training needs analysis conducted.

3.2 The objectives and desired outcomes of the planned learning programmes are appropriately linked to the needs identified in the training needs analysis.

3.3 The responsibilities for the implementation of the plan and time frames are stipulated to enhance effective implementation.

3.4 The role of the unit manager in relation to talent management and people development within a unit are motivated through practical examples

3.5 The plan is aligned to the legal framework and internal requirements relating to skills development.

3.6 The commitment to promoting lifelong learning within a learning culture is reflected in the development plan.

4.1 The implementation is monitored to track progress against the people development plan and the quality requirements of the national skills development system.

4.2 Implementation reports submitted are analysed to evaluate whether the planned objectives and outcomes were achieved.

4.3 The evaluation of learners and other interested parties is integrated into a final evaluation report with recommendations on improvements.

Critical Cross-field Outcomes

- The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in relation to people development processes in a unit.
- The learner is able to work as a member of a team in planning, promoting and managing the implementation of people development processes in a unit.
- The learner is able to organise and manage him/herself and his/her activities responsibly and effectively in planning and managing the implementation of people development processes in a unit.
- The learner is able to collect, organise and critically evaluate information and applying this in relation to compiling a people development plan for a unit.
- The learner is able to communicate effectively using visual, mathematics and language skills in the modes of oral and/or written presentations in communicating with all stakeholders on

the people development plan of a unit.

- The learner is able to demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation in applying knowledge of and insight into people development processes and talent management in a unit.

2.1 EVOLVE YOUR TALENT MANAGEMENT STRATEGY FOR MAXIMUM BUSINESS IMPACT

The right people, in the right roles, at the appropriate cost—these are core talent management drivers that are important to business leaders, regardless of industry. An effective and cost-efficient talent management strategy requires a deep understanding of issues ranging from talent acquisition to performance management, succession planning, learning and development and more. It also requires support from an objective, expert performance. Your HR component together with top management will mainly be responsible. The role of the manager and the HR component cannot be emphasised enough.

Talent management refers to the process of developing and integrating new workers,

Developing and retaining current workers and attracting highly skilled workers to work for a company. Talent management in this context does not refer to the management of entertainers. The process of attracting and retaining profitable employees, as it is increasingly more competitive between firms and of strategic importance, has come to be known as "the war for talent."

Talent management is a process that emerged in the 1990s and continues to be adopted, as more companies come to realize that their employees' talents and skills drive their business success. Companies that have put into practice talent management have done so to solve an employee retention problem. The issue with many companies today is that their organizations put tremendous effort into attracting employees to their company but spend little time into retaining and developing talent. A talent management system must be worked into the business strategy and implemented in daily processes throughout the company as a whole.
It cannot be left solely to the human resources department to attract and retain employees, but rather must be practiced at all levels of the organization. The business strategy must include responsibilities for line managers to develop the skills of their immediate subordinates. Divisions within the company should be openly sharing information with other departments in order for employees to gain knowledge of the overall organizational objectives. Companies that focus on developing their talent integrate plans and processes to track and manage their employee talent, including the following:

- Sourcing, attracting and recruiting qualified candidates with competitive backgrounds
- Managing and defining competitive salaries
- Training and development opportunities
- Performance management processes
- Retention programs
- Promotion and transitioning

Talent management is also known as HCM (Human Capital Management), HRIS (HR Information Systems) or HRMS (HR Management Systems) and HR Learning Units.
Current application of talent management: In current economic conditions, many companies have felt the need to cut expenses.
This should be the ideal environment to execute a talent management system as a means of optimizing the performance of each employee and the organization. However, within many companies the concept of human capital management has just begun to develop. In fact, only 5 percent of organizations say they have a clear talent management strategy and operational programs in place today.

2.2. WHAT IS CAREER DEVELOPMENT/PLANNING?

2.2.1 Why is Career Planning important for the employee?

Career Development Planning allows us to chart learning and development opportunities whether we want to stay in our current positions, are looking to make a lateral move or are considering positions of more responsibility. Career Planning helps to keep us interested and engaged in our work. It also is a way for the employees to express their skills and interests to their manager, who can help provide them with opportunities and a good work match.

2.2.2 Why is Career Planning important for your organization?

Leadership Continuity and Succession Management are becoming increasingly important within the Government and public organizations. Organizations are realizing the need to identify potential leaders and understand the skills, experience and career aspirations of all employees, to help us achieve the goal of a strong and diverse Public Service.

2.2.3 <u>Career Management</u>

This is a process where the individual's personal career goals are reconciled with organizational objectives. The unit manager will ensure that each individual's career path will be planned according to the needs of this individual but will also take the requirements of the organisation into consideration. The individual together with his/her unit/section manager will decide together on the best possible options.

Career planning is not an activity that should be done once - in high school or college - and then left behind as we move forward in our jobs and careers. Rather, career planning is an activity that is best done on a regular basis - especially given the data that the average worker will change careers (not jobs) multiple times over his or her lifetime. And it's never too soon or too late to start your career planning.

Career planning is not a hard activity, not something to be dreaded or put off, but rather an activity that should be liberating and fulfilling, providing goals to achieve in your current career or plans for beginning a transition to a new career. Career planning should be a rewarding and positive experience.

The HR section (usually the training section is part of the HR component) has to ensure that the plans are put into action. They have to ensure that the training is scheduled, feedback is given and also that the needs are addressed.

2.3 PERFORMANCE APPRAISALS PURPOSE AND HOW TO MAKE IT EASIER

a. Performance appraisals are essential for the effective management and evaluation of staff. Appraisals help develop individuals, improve organizational performance and feed into business planning. Formal performance appraisals are generally conducted annually for all staff in the organization. Each staff member is appraised by their line manager. Directors are appraised by the CEO, who is appraised by the chairman or company owners, depending on the size and structure of the organization.

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

c. Performance appraisals also typically feed into organizational annual pay and grading reviews, which commonly also coincide with the business planning for the next trading year.

d. Performance appraisals generally review each individual's performance against objectives and standards for the trading year, agreed at the previous appraisal meeting.

e. Performance appraisals are also essential for career and succession planning - for individuals, crucial jobs, and for the organization as a whole.

f. Performance appraisals are important for staff motivation, attitude and behaviour development, communicating and aligning individual and organizational aims and fostering positive relationships between management and staff.

g. Performance appraisals provide a formal, recorded, regular review of an individual's performance and a plan for future development.

h. Job performance appraisals - in whatever form they take - are therefore vital for managing the performance of people and organizations.

i. After the employee was appraised by the supervisor/manager, they should discuss the merits that were awarded to the employee.

Example: Employee "John" received 2 out of 5 for his Communication skills because he is always rude to his colleagues. The supervisor suggested that he should receive training on communication skills. They both agreed and it was noted on his Personal Development Plan.

j. Many times, the supervisors will add training on to the PDP that the employee wants and not what he or she really needs.

k. Managers and employees commonly dislike appraisals and try to avoid them. To these people the appraisal is daunting and time-consuming. The process is seen as a difficult administrative chore and emotionally challenging. The annual appraisal is maybe the only time since last year that the two people have sat down together for a meaningful one-to-one discussion. No wonder then that appraisals are stressful - which then defeats the whole purpose.

2.4 WHY DO ORGANISATIONS TRAIN AND DEVELOP EMPLOYEES?

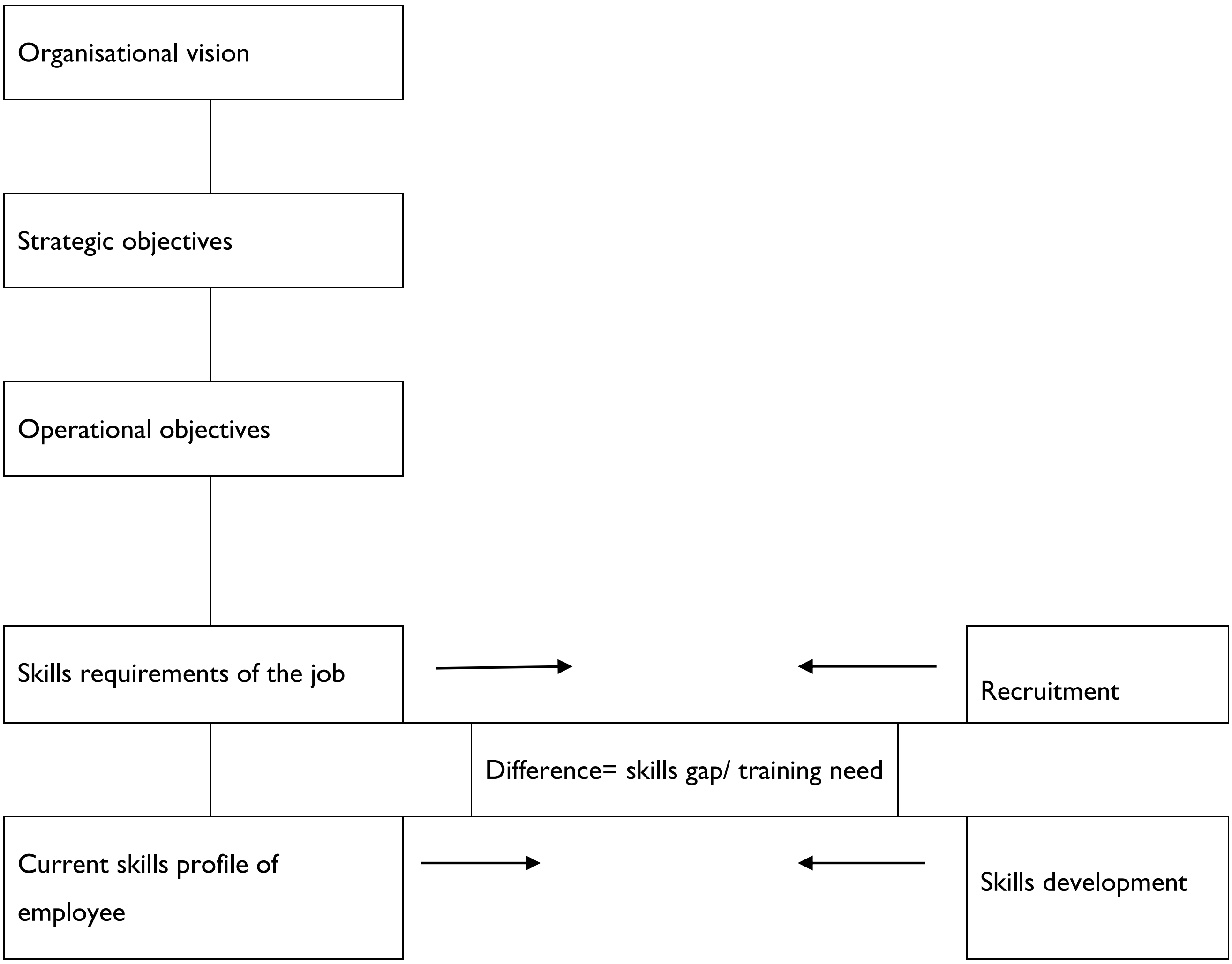
Organisations exist for the purpose to deliver some products or services to customers/clients. They use certain inputs for example people, money, etc and transform them into products and services by means of a process. The products and services are the "outputs" of the organisation. Employees must have the knowledge and skills to transform the inputs into outputs. The HR section of any business is responsible for this function.

If employees are able to perform their tasks, it will contribute to the achievement of the organisational objectives. Organisations usually try recruit employees who already have the required skills to perform their tasks. Some employees may however not have the required skills and knowledge when they are appointed. These employees will need training.

Because tasks and technology sometimes change, existing employees may also need new skills and knowledge which the organisation did not require when they were appointed. Such employees will need training.

When organisations train and develop their employees, they develop the skills of employees.

This process is illustrated as follows:



But what is skills development? The process of skills development is that the skills and knowledge of employees are developed in order to ensure that they can perform optimally in their jobs and in doing so assist the organisation to achieve its strategic objectives.

Skills development terminology:

Terminology	Explanation or definition
Skills	Competencies (skills and knowledge)
Interventions (training and development)	Course, learning programmes, skills programmes, skills development, learner ships, etc
Employer	An organisation that is registered for skills levy purposes with SARS and that is registered with a SETA for skills development purposes
Skills development facilitator (SDF)	The person appointed to plan, manage and report on skills development activities of an organisation
Workplace Skills Plan (WSP)	Training plan
Annual Training Report (ATR) – also called the implementation plan	Training and development report
Skills profile	The 'characteristics' of employees in term of skills and knowledge (competencies) i.e. the skills and knowledge that employees have.
Skills audit	The process whereby someone identifies the organisation skills requirements (i.e. what skills are needed) and the actual skills profile (i.e. what do employees really have).
Sector	Economic areas such as chemical, safety, construction, etc.

2.5 PROCESSES ON EDUCATION, TRAINING AND DEVELOPMENT

The following internal processes on education, training and development can be followed within the organisation:

- ✓ Conduct a skills audit annually to inform, amongst others, the HR Plan and to identify needs.
- ✓ Determination of strategic development areas to maintain and improve current and futuristic levels of service delivery;

- ✓ Development of a Workplace Skills Plan and subsequent reporting.
- ✓ Liaison with role-players.
- ✓ Implementation of a comprehensive training plan.
- ✓ Monitoring and evaluating of training.
- ✓ Assessment of competencies by means of potential evaluation, actual work performance, skills audits and training needs analysis.
- ✓ Annual report on skills development areas for the organisation
- ✓ Promote Development and maintenance of a career management framework for occupational groups within the organisation

2.5.1 APPOINTMENT OF A SKILLS DEVELOPMENT FACILITATOR

A company has to appoint a Skills Development Facilitator (SDF). An SDF is a person who will ensure that the company's WSP and Implementation Report or ATR is developed and implemented and also serves as a liaison person between the company and the SETA. An SDF can be appointed within the company, usually a person within the training division and/or Human Resources division. An independent (external) SDF can also be used to assist the company with the implementation of skills development in the workplace.

The SDF is responsible for:

- The development and planning of the company's skills development strategy
- Enabling the SETA to maintain a register of contacts with whom it can liaise
- Providing the mechanism through which grant allocations can be released from SETAs to individual organisations

The following may be appointed as a SDF:

- ➢ An employee
- ➢ A formally contracted, external person
- ➢ A person who is jointly employed by this employer and a number of other employers to assess the skills development needs of the group of employers and the employees concerned.

SDF functions:

- Liaise with the SETA
- Develop Quality Assurance Systems
- Develop the WSP
- Submit the WSP
- Implement the WSP
- Draft the Implementation Report against the WSP
- Establish the Training Committee of the company

The SDF must:

- Assist the employer and employees to develop a WSP which compiles with SETA requirements
- Submit the WSP to the SETA (only a registered SDF has access to the templates of the SETA)
- Advise the employer of the implementation of training against the WSP
- Advise the employer on quality assurance requirements as set out by the relevant SETA
- Serve as a contact person between the employer and the relevant SETA

2.5.2 CONSULTATION FORUM/TRAINING COMMITTEE

If a company has more than 50 employees, a Training Committee has to be established, comprising of representatives of staff members. The primary role of the Training Committee is to ensure that all employees' skills needs, irrespective of their level, are included in the WSP.

A. The role of the Training or Skills Development Committee

A training committee is a selected group of people from within an organisation that help to create wrote and implement the Workplace Skills Plan for that organisation.

Any organisation that has more than 50 employees is obliged to form a training committee. The committee should be constituted in line with the occupational categories and levels in the Employment Equity Act to ensure representation of all employees within the company.

Where there is a recognized trade union in place within the organisation, a trade union should nominate own nomination structure. A representative from the HR department and the training department should also be included on the training committee.

Companies with less than 50 employees may still find it useful to appoint one or two employees to the training committee to make it more representative of the needs of learners and to help the SDF by giving feedback on the caliber of training provided and the effectiveness of training interventions.

A training committee is necessary because a Workplace Skills Plan will carry no credibility or organizational commitment unless it has been formed with the input and contribution of all those who will be affected by it.

They will also help develop the WSP in line with SETA requirements and consult with employees in the workplace on training needs. They ensure that feedback is given to employees in the workplace on skills development and keep accurate training records.

Previously organisations or businesses decided on their training strategies with little or no consultation beyond top management. This contributed to organizations finding that training was ineffective learning interventions that were imposed on employees.

Now that training and development have to take place in the context of quality assurance, life-long learning and RPL, we can expect far more impact from training committees.

B. <u>Functions of the Training Committee</u>

- ✓ Develop a training policy
- ✓ Ensure that the development and implementation of the WSP is aligned to the strategic mission and vision of the company
- ✓ Keep the envisaged training and development of employees in the company abreast with the long-term transformation objectives of the company
- ✓ Ensure that the WSP is aligned to the Employment Equity Plan and Business plan of the company

- ✓ Establish training priorities for the company based on its short- and long-term needs
- ✓ Monitor the implementation of the WSP
- ✓ Periodically revise the WSP and compile the Implementation Report

2 A. Individual Formative Exercise: Performance appraisals

2 B. Individual Formative Exercise: Talent management

2 C. Individual Formative Exercise: Career Development paths

Learning Unit 3
Types of Training Programmes and Skills Development Activities

Types of training programmes

Unit Standards	
252029	Lead people development and talent management
Specific Outcomes	
SO1. Analyse education, training and development needs of members of a unit. SO2. Record the results of the training needs analysis. SO3. Compile a people development plan for a unit. SO4. Manage the implementation of the people development plan of a unit.	
Learning Outcomes	
1.1 The skills gap and training needs of staff in the work unit are determined through the training needs analysis. 1.2 The results from the recent performance appraisal are integrated into the training needs analysis. 1.3 The entity's talent management strategy was used as a basis for conducting the training needs analysis of staff in the unit. 1.4 Stakeholder input was obtained to reach agreement on the interpretation of the results of the training needs analysis. 2.1 The development needs of staff to be addressed through training and non-training interventions are recorded in the training needs analysis report. 2.2 The development needs are related to the career development paths of individual staff members in accordance with the requirements of the entity. 2.3 The development needs are linked to the talent management strategy of the entity. 2.4 The report on the training needs analysis is communicated to interested parties in a usable format.	

3.1 The types of the learning programmes described in the plan are motivated in terms of the development needs identified through the training needs analysis conducted.

3.2 The objectives and desired outcomes of the planned learning programmes are appropriately linked to the needs identified in the training needs analysis.

3.3 The responsibilities for the implementation of the plan and time frames are stipulated to enhance effective implementation.

3.4 The role of the unit manager in relation to talent management and people development within a unit are motivated through practical examples

3.5 The plan is aligned to the legal framework and internal requirements relating to skills development.

3.6 The commitment to promoting lifelong learning within a learning culture is reflected in the development plan.

4.1 The implementation is monitored to track progress against the people development plan and the quality requirements of the national skills development system.

4.2 Implementation reports submitted are analysed to evaluate whether the planned objectives and outcomes were achieved.

4.3 The evaluation of learners and other interested parties is integrated into a final evaluation report with recommendations on improvements.

Critical Cross-field Outcomes

- The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in relation to people development processes in a unit.
- The learner is able to work as a member of a team in planning, promoting and managing the implementation of people development processes in a unit.
- The learner is able to organise and manage him/herself and his/her activities responsibly and effectively in planning and managing the implementation of people development processes in a unit.
- The learner is able to collect, organise and critically evaluate information and applying this in relation to compiling a people development plan for a unit.
- The learner is able to communicate effectively using visual, mathematics and language skills in the modes of oral and/or written presentations in communicating with all stakeholders on the people development plan of a unit.
- The learner is able to demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation in applying knowledge

of and insight into people development processes and talent management in a unit.

3.1 SKILLS AUDIT

Usually the Human Resource Section will conduct a skills audit annually (before or at the end of the financial year), in consultation with all stakeholders to identity skills and training gaps between the available skills and required skills for all occupational categories within the organisation. The results of the skills audit will be used to develop a Workplace Skills Plan for the organization.

The skills audit has to identify what we have what we need to do our job and to what the organisation needs.

The steps in the skills audit process are summarized in this table:

Step	Action
1	Train or source people the perform the skills audit
2	Define skills
3	Develop an action plan to perform the skills audit
4	Implement the action plan; Perform the skills audit
4.1	Identify jobs and job categories as well as employees per job
4.2	Identify job profiles in terms of race, gender, disability and job category
4.3	Identify employees who should be involved in the skills audit process
4.4	Identify methods that will be used during the skills audit process
4.5	Develop documents to record the information

4.6	Identify the applicable period
4.7	Identify skills requirements of jobs and skills profiles of employees (perform the skills audit)
4.8	Record skills audit results
4.9	Identify training needs

In other words, the Skills Audit will determine what skills the employee has and what does he/she needs according to the performance agreement.

Example of an action plan for the Skills Audit:

ACTIVITY	PERSON(S) RESPONSIBLE	FROM	TO	FINAL DUE DATE	SIGNED OF BY SDF
Identify jobs and job categories as well as employees per job					
Identify employee profiles in terms of race, gender, disability and job category					
Identify employees who should be involved in the skills audit process					
Develop documents to record the information					
Identify the applicable period					
Identify skills requirements of jobs and skill profiles of employees – perform the skills audit					
Record the results of the skills audit					
Identify the training needs					

Implement the action plan: **Identify the jobs and job categories as well as employees per job.**

The SDF must have the following information available when starting the skills audit: A list of job titles and a list of the employees.

The Financial and the HR departments should have this information.

Example of such a Skills Matrix is on the next page.

SKILLS MATRIX (to determine where the skills are)

Surname	**Initial**	**Job title**	**Race**				**Gender**		**Disability**		**Age**								
			A	**C**	**W**	**Asian**	**M**	**F**	**Y**	**N**	**20-24**	**25-29**	**30-34**	**35-39**	**40-44**	**45-49**	**50-54**	**55-59**	**60-64**
Marais	A	Manager			X			F								X			
Sekhute	T	Manager	X				X						X						
SUBTOTAL			**1**		**1**		**1**	**1**					**1**			**1**			
Mamaregane	L	Accountant	X				X							X					
SUBTOTAL			**1**				**1**							**1**					
Roelofse	R	Secretary			X			X				X							
Moloi	T	Secretary		X			X					X							
Van Niekerk	M	Secretary		X				X									X		
SUBTOTAL				**2**	**1**		**1**	**2**				**2**					**1**		
TOTAL			**2**	**2**	**2**		**3**	**3**				**2**	**1**	**1**		**1**	**1**		

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Example of a Skills Audit Feedback Report:

ISSUES ADDRESSED	SUMMARY OF FINDINGS
When was the audit conducted?	
Who was involved in the process? (Names and titles)	
SETA identified skills priorities:	
What skills did the SETA identify nationally?	
Which of the priorities that were identified by the SETA is relevant to the organisation's needs?	
Who are the employees that need skills as identified by the SETA? (Names)	
The learning culture of the organisation:	
What is the current situation regarding learning and development in the organisation?	

What is the general feeling of the employees in the organisation regarding training and development?	
What are the reasons for them being positive towards training and development?	
What are the reasons for them being negative towards training and development	
Technology and processes:	
Does the organisation plan to implement any new processes?	
Does the organisation plan to implement any new technology?	
Are there any new skills that the employees will have to obtain? Name them.	
What training and development will have to take place to address these new skills needed?	
Who are the employees that will need these skills? (Names)	

Employment equity:	
Are there any new skills needed to reach the targets of the Employee Equity plan?	
Are there any new skills needed to reach the targets of succession plans?	
Who are the employees that will need these skills? (Names)	
Employee movements:	
Are there any promotions, appointments, retirements or resignations that will take place in the near future?	
Are there any new skills that employees will need due to these movements?	
Who are the employees that will need these skills? (Names)	
Learner ships:	

Are there learner ships needed in the organisation?	

Signature of SDF: ______________________________ Date: ________________________

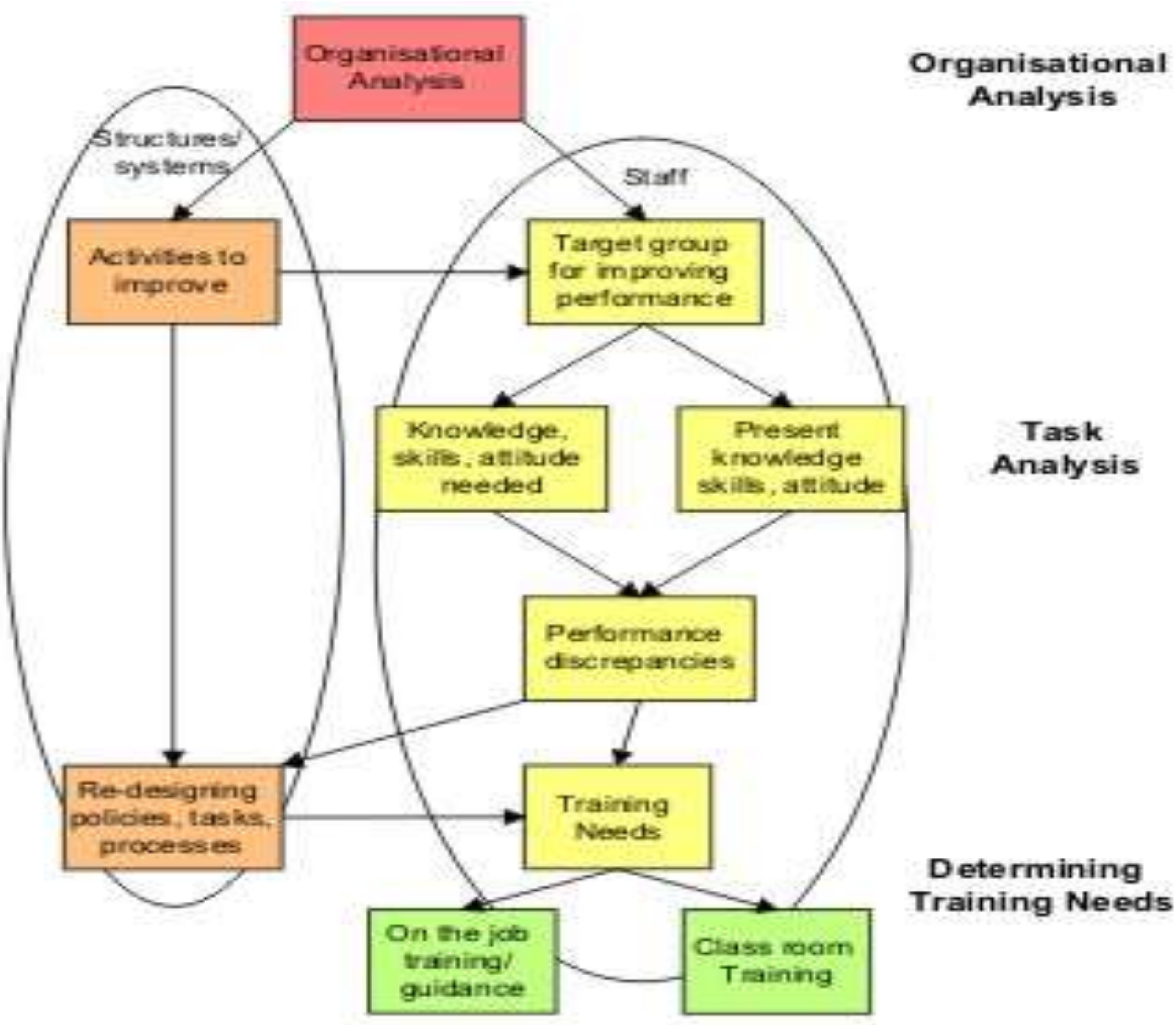
Example of summary report on the skills audit

SURNAME	INITIAL	JOB TITLE	Budgeting skills		Negotiating skills		Project management		Excell		Policy knowledge	
			R	**A**	**R**	**A**	**R**	**A**	**R**	**A**	**R**	**A**
Marais	A	Manager	X		X			X		X		X
Sekhute	T	Manager		X	X		X			X	X	
Mamaregane	L	Accountant		X			X			X		X
Roelofse	R	Secretary								X	X	
Moloi	T	Secretary							X			
Van Niekerk	M	Secretary							X			

TOTAL	1		2		2		2		2	

Legends: R = Required skills **A = Actual skills**

3.2 TRAINING NEEDS ANALYSIS



The training needs analysis process is a series of activities conducted to identify problems or other issues in the workplace and to determine whether training is an appropriate response.

The needs analysis is usually the first step taken to cause a change. This is mainly because a needs analysis specifically defines the gap between the current and the desired individual and organisational performances.

The Training Needs Analysis (TNA) is therefore an essential first step in management development.

If you wish to achieve the greatest improvement in performance and best value from your investment in training, development, practical experience or networking, you should first undertake a comprehensive training needs analysis. This will form the basis for designing a cost effective management or talent development programme.

In easier terms, training needs analysis means that you identify the training needs of the employees that will enable him/her to develop the skills that he/she needs to deliver according to his/her performance agreement.

3.2.1 <u>Who conducts needs analysis and why?</u>

An in-house employee (manager, trainer, etc) or a consultant performs a needs analysis to collect and document information concerning any of the following three issues:

- ✓ Performance problems
- ✓ Anticipated introduction of new system, task or technology
- ✓ A desire by the organisation to benefit from a perceived opportunity

In all three situations the starting point is the desire to effect a change. Given this, you must know how the people will experience change, perceive it. In the absence of a needs analysis, you may find employees resistant to change and reluctant to training. They may be unable to transfer their newly acquired skills to their jobs because of the organizational constraints.

A needs analysis often reveals the need for well-targeted training areas. However, we must keep in mind that training is not always the best way to try to close a particular gap between an organization's goals and its actual performance. Those conducting the needs analysis must get a clear idea of the problem, look at all possible remedies and report on their findings to management before deciding on the best solution.

When properly done, a needs analysis is a wise investment for the organization. It saves time, money and effort by working on the right problems. Organizations that fail to support needs analysis make costly mistakes; they use training when another method would have been more effective; they use too much or too little training,

Or they use training but fail to follow up on it. A well-performed analysis provides the information that can lead to solutions that focus on the areas of greatest need.

Process of conducting a training needs analysis is a systematic one based on specific information-gathering techniques. Needs analysis proceeds in stages, with the findings of one stage affecting and helping to shape the next one. There is no easy or short-cut formula for carrying out this process. Each particular situation requires its own mix of observing, probing, analyzing and deducting.

In many ways, the needs analysis is like detective work; you follow up on every lead, check every piece of information and examine every alternative before drawing any solid conclusions. Only then you can e sure of having the evidence on which to base a sound strategy for problem solving.

A needs analysis is not a one-time event. Professional organizations administer needs analysis at regular intervals, usually every year or two.

3.2.2 Methods of Identifying Training Needs

Training needs will differ with the backgrounds of the employees to be trained, and their present status in the organization. Basically, a candidate for training may come from any one of three groups:

- New hires
- Veteran employees
- Trainees currently in the training pipeline (currently in the training program)

Consideration of the varying needs of these groups provides a frame of reference for discussing and suggesting the methods of identifying training needs:

• **New Hires**

Addition of new employees creates high and low peaks in placing new persons into the training program. This problem may be solved by a program where progression is made in different sequences. It will eliminate a jam that will occur if all phases of the program must be taken in a definite sequence.
The new employees will normally be of somewhat different backgrounds. Being new, they are not familiar with their new employers. As a result, the earliest phases of the training must concentrate on company orientation. During these phases, the organisation, organisation policies and administrative details should be covered. It is also a suitable time to acquaint the trainees with what will be expected of him, and how he will be evaluated throughout the phase of training.

• **Retaining and Upgrading Veteran Employees**

The people in this category offer a real challenge to the training department. There- fore, the number and amount of training required by this category should be carefully considered. Often the retraining and upgrading of former employees can be very rewarding for training instructors. At least two schools of thought exist as to how these employees should be rekindled. There are advantages in keeping this group intact and tailoring the program to their needs. On the other hand, this category of employees can also make significant contribution to training if they are co-mingled with the new hires.

• **Pipeline Employee Requirements**

A good training program will normally have participants in various phases of completion. An awareness of completion dates and how the potential employee will be employed should be the concern of the training staff and also the employee's supervisor. A trainee should have a challenge in all phases of his training. All these challenges should not be confined to those phases where the pipeline employee is sitting in a classroom. Therefore, it is recommended that thorough interim test-work be given to pipeline employees in periods between formal classes. This may take the form of solidifying what he learned in the prior phase and serve as preparation for the coming phases.

3.2.3 Techniques/assessments for Determining Specific Training Needs or Skills Gaps

There are a number of practical methods you can use to gather data about employees' performance. Each works well in given circumstances; therefore, you must determine which will be the best for you. None of these methods can stand alone. Always use at least two, if for no other reason to validate your findings. One of those you choose should always be observation.

- **Observation**

In this approach, an employee's performance itself is you source of information. You evaluate a worker's performance through first-hand observation and analysis. This is best accomplished by watching the worker and playing the role of non-participating observer. This means that you watch and listen and evaluate what you see and hear, but do not get involved in his work process in any way.

To make this activity more productive, use a checklist to remind you of what to look for and take notes.

The objective during observations is to identify both the strengths to build on and the deficiencies to overcome. A key advantage of using direct observation in the needs analysis is that you gain first-hand knowledge and understanding of the job being performed and the strengths and weaknesses of the relevant worker.

- **Interviews**

The use of interviews in conducting the needs analysis is strongly urged. The prime value of interview guides is that they ensure the same types of data from all sources. This allows you to determine whether a piece of information is one person's opinion, or part of a widespread perception. Since the interview guide forces you to ask each worker a number of predetermined questions, you must select those questions that are essential to what you are trying to learn.

Interviews allow you to meet employees face to face to discuss their impressions of performance. Because you are in conversation with workers, you can explore their responses in depth. You can ask or clarification of comments and for examples of what they mean. In this way, you obtain a full understanding of their performance deficiencies.

You also gain these benefits through interviewing**:**

1. You build credibility with your interviewees by asking intelligent questions and listening well to their answers.
2. You obtain employees' personal involvement and commitment to your efforts.
3. You establish personal relationships with potential trainees who are important to your success as a needs analyst and trainer.

- **Questionnaires**

A questionnaire is a sort of interview on paper. You create your own questionnaire by writing down all the questions you want employees to answer for you. Then you mail it to them or if not possible, have personal interviews for them to0 complete it. Then await their responses.

The key advantage of a questionnaire is that you can include every person from whom you want input. Employees can complete the questionnaire when and where they choose. You need not travel and spend time with all respondents. Every employee is asked the identical questions and consequently data is very easy to compile and analyse.

Questionnaires can be useful in obtaining a "big picture" of what a large number of employees think while allowing everyone to feel that they have had an opportunity to participate in the needs analysis process.

- **Job Descriptions**

Before establishing a job description, a job analysis must be made. This job analysis involves a thorough study of all responsibilities of the relevant job. It is companywide in scope and should be detailed to such a degree that those conducting the training can use the job analysis as a yardstick for their course content. After the job analysis phase has been completed, the writing of job description and needs analysis is a relatively simple task. When an employee's job description has been defined, the trainer can easily tailor his training curriculum to a very close proximity of what will be expected of the employees.

The Difficulty Analysis

The Job Analysis will focus attention on enumerating the numerous duties that a worker must perform. On the other hand, the Difficulty Analysis establishes which of the duties cause the employee the greatest amount of troubles and how this trouble can be reduced through better training.

<u>A good Difficulty Analysis offers many advantages. For example:</u>

- It enables a needs analyst to weigh certain aspects of the training in relationship to the expected difficulty that the worker will face in coping with those duties.

- A well thought out Difficulty Analysis will provide the training program with abundance of role-playing material and situations.

Problem Solving Conference

Another time-tested technique for gathering needs analysis material from employees is to conduct periodic problem-solving conferences which may take the form of or be part of a plan for a new product, task or technology, or tied in with a training program. It is always helpful to utilize an outside consultant to moderate such sessions. This outside sponsorship has a tendency of letting the workers express their feelings about his organization, and the session can then be geared to training needs. The current problems will evolve that represent potential areas for training.

Appraisal Reviews

During the periodic counselling performance interview, an employee should be questioned regarding the duties and training of a worker. Comments rendered during the appraisal interviews normally are genuine, and can frequently assist in establishing the needs, variations and penetrations that a training program should include. Feed- back at appraisal interview time is valuable since it is timely information. Training needs differ from worker to worker, and appraisal sessions allow the employee and supervisor / manager to uncover the cause of weaknesses in performance. These deficiencies represent areas for training.

Drive Pattern Identity

The extent of an employee's development depends on his motivations. Identifying the forces that cause an employee to behave in a certain way may be useful in determining his individual training needs and how to stimulate his desire to fulfill that need. An analysis of this kind, for example, may determine that the employee has an urgent need for self-confidence. His individual program should be made to stress the importance of attitude, skills etc., and any other assets that would give him this self- confidence.

Analysis of Organizational Policy

Organization policy will affect the amount of training offered. An explanation of various policies should be covered in the training program. Of particular concern are those policies that involve change, alteration and major revamping of training programs. In organizations undergoing merger activity, product diversification and new penetration, a great deal of sensitivity must be placed on policies today and expected changes in the future.

360° feedback surveys

A 360° feedback survey helps the organisation obtain quality information about performance and relationships by posing a set of standard questions to an individual's line manager, peers and direct reports. This all around (360°) approach identifies any variation of behaviour in different roles and minimises personal bias. The information can be collected on paper forms or using computer systems; the print-out in either case acts as a third-party report which managers or coaches and their clients can discuss in a non-emotional manner.

It is recommended that a 360° survey should precede any developmental coaching programme. When reviewing an individual, it is often best to ask open questions such as:

- **Keep doing:** What are the things which '*name*' currently does which help you and which you hope he/she will continue to do?
- **Do more of:** What are the things you would like '*name*' to start doing or do more of?
- **Do less of:** What are the things which '*name*' does which get in the way and which you would like to be done less often?
- **Development needs:** What are the areas upon which you feel '*name*' should really concentrate in order to improve the managerial performance of the organisation? You may

wish to highlight aspects of how he/she manages or specific objectives or accountabilities which you feel need attention.

- **Personal strengths:** What do you see as the key strengths which '*name*' brings to his/her job?

- **Work shadowing**

Work shadowing involves a coach spending time with an individual while he or she is carrying out their normal work. The coach sits in on meetings and observes the individual's behaviour in different circumstances. Feedback can then be immediate or compiled into a formal report. The instant feedback is a valuable part of the coaching process.

Whatever the method used to identify training needs, at least the following three points must be kept in mind**:**

- These methods should be used in combination; that is, there should never be reliance on only one method.
- They may be used to identify training needs of each of the various groups of employees.
- They should be applied to individual employees since training needs will vary with the individual employee.

3.2.4 Problems and barriers when conducting a needs analysis:

You could experience five problems or barriers that can arise when conducting a needs assessment. Before conducting an assessment, plan how to deal with or avoid these five issues:

- Confidential information: Tell those who offer information during the assessment whether the information they offer is confidential or anonymous. Either do not ask for the name of the person completing the survey or questionnaire or offer the option to provide a name. Generally, respondents are more forthcoming if they can remain anonymous. Be sure to clarify concerns about how interview or survey information will be used.

- Management buy-in: Management needs to be involved in all three phases of the needs assessment. Sell the purpose and benefits of the survey or interviews to all the managers who are involved with the deficiency prior to collecting information. Tie the survey data to the strategic plan and/or performance review processes.

- Unwilling employees are participants: Employees may not be willing to spend a lot of time to complete a survey or an interview. To increase participation in information gathering, have a top executive send a cover letter with the survey or, prior to an interview, ask for the employee's cooperation in completing the survey or giving the interview. Get key employees to be goodwill ambassadors for the process. Make the distribution, the completion and the return of the survey or the conducting of the interview as convenient as possible.

- Cost: During the needs assessment, the performance deficiency usually continues. Promote the gathering of the information as an investment in the progress of the organization. Do a feasibility study on the savings from conducting the survey or interviews or just doing nothing. Often commonly held assumptions can be validated or changed when hard data is gathered. Use existing data regarding the deficiency to avoid the cost of asking for what is already available.

- Interrupts work: Time is money. Taking away employees from productive work to complete a survey or an interview may detract from work results. Keep the survey brief, streamlined and attractive in appearance. When conducting interviews, write out key questions prior to the interview. Set specific appointments with a starting and ending time.

Example of a questionnaire:

TRAINING NEEDS ANALYSIS QUESTIONNAIRE FOR EMPLOYEES

Name of Organisation: …………………………………………………………..

Name of section/ division: ……………………………………………………….

Date: ………………………….

Dear Employee,

The management of this Department is committed to the training and development of our employees. We want to render quality services and products to our customers/ clients and in order to do so we need competent employees.

This means that employees must have the necessary knowledge and skills to perform their jobs competently.

The Department wants to identify the training needs of employees so that we can provide them with the necessary training. We therefore need your input. We developed this questionnaire to enable you to indicate the areas in which you need training. The information you provide will be used to identify the priority areas for training in your section/ division.

Please keep in mind that if approved, the training should take place in the next financial year. However, the training may not be approved due to financial or other constraints, or your manager may decide to postpone the training for later.

Thank you for your participation in this process. We will use the information to compile a Workplace Skills Plan (WSP), which serves as the overall training plan for our entity. The WSP will be submitted to the Public Sector Education and Training Authority (PSETA) as required for all public sector entities.
We will also hold discussions with your manager/ supervisor to get their input on the training needs of your section/ division. He/ she will integrate the information in your questionnaires into a consolidated list for the section/ division.

Regards,

The SDF
(on behalf of the HRD Manager)

Guidelines for completing the questionnaire:

- Please write your name, job title/ designation, etc. in the spaces provided.
- Please use a black pen.
- Ask your supervisor or manager to assist you to complete sections where you are unsure of the information that is required.

Name and surname			
Job title/ designation		**Section**	
Personnel number		**Date completed**	

Please complete the questionnaire and return it to your manager/supervisor by not later than: ……………………………..

TASK OR PERFORMANCE AREA in which you need training (only indicate the areas of your work in which you need training)	**LEARNING AREA in which training is required**	**COMPETENCE that should be developed** (i.e. what you need to know, understand and be able to do at the end of a programme to be able to perform competently, and what attitudes need to be developed)		
EXPLANATION: *This information will help to ensure that the training is directly related to your job. You could consult your job description or competency profile to identify areas in which you need training.*	***EXPLANATION***: *The learning area refers to the broad field of learning, and generally relates to the title of the learning programme (course) that you need.*	***KNOWLEDGE***	***SKILLS***	***ATTITUDES***
EXAMPLES: *Develop a budget, conduct disciplinary hearings, Recruit new staff members, Maintain electronic equipment, Manage finances of the section*	***EXAMPLES***: *Budgeting, Project Management, MS Word, Labour legislation, Motor vehicle maintenance, Primary health care, HIV/AIDS awareness, ABET*	***EXAMPLES***: - *New BEE codes* - *PFMA requirements* - *Procedure for dismissing staff guilty of misconduct* - *Procedure for processing bursary applications*	***EXAMPLES***: - *Analyse balance sheets* - *Writing reports* - *Work in teams* - *Conduct performance appraisal interviews*	***EXAMPLES***: - *Be more assertive* - *Show empathy towards people diagnosed with HIV/ AIDS* - *Be more tolerant of people from diverse backgrounds*

TRAINING NEEDS ANALYSIS QUESTIONNAIRE FOR MANAGERS/SUPERVISORS

Name of Organisation: ……………………………………………………

Name of section/division: …………………………………………………….

Date: ………………………………………

Dear Manager/ Supervisor,

The management of this Department is committed to the training and development of our employees. We want to render quality services and products to our customers/ clients and in order to do so we need competent employees. This means that employees must have the necessary knowledge and skills to perform their jobs competently.

The Department wants to identify the training needs of employees so that we can provide them with the necessary training. We therefore need your input. We developed this questionnaire to enable you to indicate the skills gaps and training needs of employees in your division/ section, i.e. the people who report directly to you. The information you provide will be used to identify the priority areas for training in the Department.

The questionnaire has been designed to assist you to determine the training priorities that will address the most important skills needs in your section/ division.

The focus of this training needs analysis is to obtain your input in the following main areas:

- What are the main skills gaps in the section/ division? (Answers will indicate the gap between the skills/ competency employees <u>currently have</u>, in relation to what they should have);

- What training do employees need in the next year and in the future? and
- Which learning programmes are recommended to address the skills gaps and build the required competence?

Please keep in mind that if approved, the training you recommend in this questionnaire should take place in the next financial year. However, the training may not be approved due to financial or other constraints, or it may be postponed for later.

Thank you for your participation in this process. We will use the information to compile a Workplace Skills Plan (WSP), which serves as the overall training plan for our entity. The WSP will be submitted to the Public Sector Education and Training Authority (PSETA) as required for all public sector entities.

Regards

The SDF
(on behalf of the HRD Manager)

Details of the person who completed the questionnaire			
Name and surname		**Job title/ Designation**	
Personnel number		**Section/ Division**	
Date completed			

Please complete the questionnaire and return it to the SDF by ………………………….

PART 1: OVERALL TRAINING NEEDS IN YOUR SECTION / DIVISION			
What are the main priorities in your section/ division?	**Your answer on the priorities**	**What new skills are required to achieve this, if any?**	**What training is needed to address the priority?**
Strategic objectives • What are the strategic objectives of your section/ division?			
New technologies/ processes • Which new technologies/ processes are planned for your section/ division?			
Employment Equity • What are the Employment Equity objectives of your section/ division?			
Staff movements • What staff movements are planned or anticipated over the next three years (e.g.			

promotions, appointments, resignations, retirements, etc.)?			
Other priorities • What other priorities are there in your section/ division that would indicate a need for new skills and training?			

Scare and critical skills need in your section/ division	
Scarce skills need • Are there any occupations in your section/ division that can be classified as scarce skills? (These are **<u>occupations</u>** in which you have difficulty employing people because of a scarcity of qualified and experienced people, or because you cannot attract such people to work in your section/ division/ department. Examples are Accountants, Engineers, Primary school teachers, Medical doctors or HR practitioners.)	
Critical skills need • Are there any critical skills need in your section/ division? (These are skills *<u>within an occupation</u>* that are required to perform a function within that occupation. Examples are English writing skills, writing a business plan, MS Office suite, counselling HIV/ AIDS patients,	

developing a curriculum or conducting disciplinary hearings.)	
Main performance problems in your section/ division	
• What are the main performance problems experienced in your section/ division that can be attributed to a lack of skills?	

PART 2. TRAINING PRIORITIES IN YOUR SECTION/DIVISION

What is the overall training priorities, based on the skills needs identified in the previous sections? *(Please provide a consolidated list of about 5 to 10, in order of priority.)*	**Which scarce or critical skills does the training priority relate to, if relevant?**	**Which strategic priority does each training priority relate to?**

1. … 2. … 3. … 4. … 5. … 6. … 7. … 8. … 9. … 10.…		

PART 3: CONSOLIDATED LIST OF TRAINING NEEDS OF EMPLOYEES IN YOUR SECTION/ DIVISION					
Note: Each employee in your section/ division should have completed the Training Needs Analysis questionnaire for employees. The list that is required here must be compiled after the manager/ supervisor has worked through and integrated all the training needs indicated by the individual employees.					
LEARNING AREA in which training is required	**COMPETENCE that should be developed** (i.e. what must the learner know, understand and be able to do at the end of the programme)	**TYPE OF LEARNING PROGRAMME that would be most appropriate**	**NQF LEVEL of the programme** (if known)	**STRATEGIC TRAINING PRIORITY addressed through this training**	**NAMES OF PERSONS in your section/division who require this training**
E.g. Budgeting, Project Management, MS	*E.g.:* - *Analyse balance sheets* - *Compile budgets*	*It is recommended that you select one of the DoL-approved*	*Indicate the NQF level of the*	*Indicate the priority identified in Part 2 above*	*Write the names of the employees who need this training*

Word, Labour legislation, Motor vehicle maintenance, Primary health care, HIV/ AIDS awareness	- *Keep record of income and expenditure* - *Apply financial procedures to transactions*	*programmes, i.e. ABET, Articles, Apprenticeship, Internship, Learner ship, Skills Programme, non-credit-bearing Short Course, or Work Experience*	*programme, where it is known*		
Note: insert more rows if required					

Thank you for taking the time to complete this questionnaire.

Example of a summary report of the training needs: (Results of the training needs analysis)

TRAINING NEEDS	**TYPE OF INTERVENTION**	**TOTAL OF EMPLOYEES**
Excel	Short course	22
Numeracy and communication	ABET	9
Project Management	Skills programme	5
Time Management	Short course	67

Example of a summary of the training needs of a section/department of a business:

INFRASTRUCTURE TRAINING PLAN SUMMARY 2008					
Training Course	**Number of employee (s)**	**Estimate Cost**	**Administrative**	**Technical**	**Training provider**
Public Relations	1	R 2,895.00	1		Siyanqoba
Project Management for office professionals	2	R 5,990.00	2		Siyanqoba
Health Induction Workshop	1	R 0.00	1		Nat.Treasury
Construction Safety Services (OH & S)	1	R 4,000.00		1	CSS Harrismith
English Skills for Second Language	2	R 5,990.00	2		Siyanqoba
Presentation skills	1	R 3,000.00	1		Siyanqoba
IESSA Lighting designs	1	R 5,000.00		1	CSIR
Cost and Management Account	1	R 9,000.00	1		Damelin
BAS	3	R 0.00	3		Prov treasury
Supply Chain management	3	R 0.00	3		Prov treasury
Excell Course	3	R 0.00	3		Health (Internal)
Coordinate contract development	1	R 2,500.00	1		PFMA
Contract Management	1	R 9,000.00	1		M&E
Financial Management for Non -financial	1	R 9,000.00	1		M&E

PPP Training	1	R 0.00	1		M&E
Data information management	1	R 2,500.00	1		PFMA
PPP Competency Skills	1	R 6,000.00	1		IP3
PPP's in Health, Education and Social Develop	1	R 6,000.00	1		IP3
PPP projects Officers skills development	1	R 6,000.00	1		IP3
Planning ICU & Theatres	3	R 18,000.00		3	Health Facility Planning(Internal)
Introduction to Planning Health Buildings	2	R 12,000.00	2		Health Facility Planning (Internal)
Supervisory skills	1	R 9,000.00	1		M&E
GRAND TOTAL	**33**	**R 115,875.00**	**28**	**5**	

3.3. PERSONAL DEVELOPMENT PLAN

The Personal Development Plan is the document that the manager and employee jointly develop at the beginning of the assessment period which sets out the employee's career aspirations as well as training and learning objectives and targets for the year. The purpose of the PDP is twofold. First, it ensures that the employee maintains the current level of job proficiency through continued training and developmental activities. Secondly, the employee charts a career path by identifying new knowledge, skills and abilities to pursue, as well as learning activities needed to reach the established goals.

This plan will specify training and development plans for individuals and if available, the skills requirements specified in these plans must be added to the Workplace Skills Plan.

It is important to remember that we want to promote life-long learning to our employees. One of the methods to use is the PDP. We plan ahead for the future of the employees. Therefore the PDP cannot just be completed in isolation. The employee's career path must be taken into consideration.

See an example on the next page:

PERSONAL DEVELOPMENT PLAN

Name of employee: ______________________________

AREA TO BE DEVELOPED	**DEVELOPMENT**		**PERFORMANCE REVIEW**		
	ACTION/TYPE OF LEARNING PROGRAMME **(HOW AND PROVIDED BY WHOM)**	**TARGET DATE (WHEN?)**	**PROGRESS**	**BARRIERS**	**ACTIONS TO OVERCOME BARRIERS**

AGREEMENT TO PERFORMANCE AND DEVELOPMENT PLAN:

FEEDBACK BY SUPERVISOR:

____

____

____

____

Signature of supervisor: ____________________________________

Date: ______________

Signature of employee: ____________________________________

Date: _______________

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3.4 WORKPLACE SKILLS PLAN

3.4.1 What is a workplace skills plan?

- A Workplace Skills Plan (WSP) is a plan for Education and Training in the workplace
- All companies who are registered with a SETA should submit a WSP, which will qualify them for a Mandatory Grant (for levy paying companies **only**) and the Sector Priority Discretionary Grant (for levy exempt companies **only**)
- The WSP needs to be submitted for each financial year
- Every SETA has a template for the completion of the WSP

3.4.2 Implementing a WSP

The company should keep records of all the training, activities, assessment and/or development initiatives implemented according to the WSP in preparation for the Implementation Report. The most current Workplace Skills Plan / Implementation Report must be used and is accessible through the SETA Skills Development Planning Division.

Training / activities / assessments that have taken place during the year need to be tracked and training / activities / assessments that still need to be completed also need to be tracked.

The Implementation Report must list all the interventions that have been implemented according to the WSP. If training or other initiatives planned in the WSP were not completed, justification for this should be recorded.

The SETA will measure the achievements identified in the report against the priorities outlined in the WSP, with the intention to pay the relevant grant if they have implemented the plan sufficiently.

Planning, implementing and controlling the **workplace skills plan** are not very complex procedures and a simple action planning method will be effective.

To compile an action plan, the project has to be divided into specific activities or tasks – each with a deadline or timeframe, an estimate of resources, and an assignment of responsibility for the task. Resources required for the planning and implementation of the WSP include:

- Financial resources to pay for training, including mandatory and discretionary grants
- Information resources to access training courses and service providers
- Information resources to monitor national and sectoral trends
- Information and communication resources to monitor organisational needs
- Human resources to monitor the achievement of goals, carry out action steps and deal with problems
- Time resources to carry out the action steps
- Record-keeping resources to control the implementation of the workplace skills plan.

3.4.3 Objectives and action steps

Objective	Action Steps
Gather information about national and sectoral trends	➢ Collect information on national trends ➢ Collect information on sectoral and industry trends ➢ Identify relevant legislation, regulations and amendments ➢ Keep abreast of the field of knowledge
Gather information about the business plans and other objectives of the organisation	➢ Collect information on organisational strategies and training priorities ➢ Link national, sectoral and industry trends to organisational needs ➢ Link to organisational and career development needs
Gather information on employee priorities	➢ Link to employee ambitions ➢ Link to national and sectoral priorities ➢ Link to organisational skills needs ➢ Consult through the training committee
Gather information on competence and performance gaps	➢ Collect information from company practices (WSP implementation report of previous year) ➢ Conduct a skills audit
Consult with management	➢ Prepare information for appropriate and effective disclosure ➢ Present information to management and facilitate the understanding of the information

Objective	Action Steps
Compile draft WSP	➢ Gather feedback and recommendations ➢ Read and understand the SETA guide to the WSP ➢ Analyse and collate all information and feedback ➢ Gather administrative data from HR or payroll records ➢ Identify potential learners ➢ Identify appropriate learning interventions, e.g. learner ships or skills programmes ➢ Identify potential courses and training providers and estimate costs ➢ Compile WSP using the SETA format
Consult with management	➢ Present draft WSP to management and gather feedback and recommendations ➢ Agree budget with management
Compile final WSP for submission	➢ Make agreed changes ➢ Get the WSP signed off as required by the SETA

3.4.4 <u>What are the benefits of completing a WSP?</u>

- Well trained and skilled employees
- Status of a preferred employer
- Increased productivity
- Quality and profitability
- Access to Mandatory and Discretionary Grants (including learner ships and other learning programme funding)

3.4.5. <u>Keeping record</u>

The SDF should ensure that records are kept of all activities that took place during the development of the WSP of the organisation:

- ✓ Documentation related to registration with SARS for SDL purposes (EMP 101 and EMP 103)

- ✓ Training committee member details, minutes of meetings, agendas and any correspondence with members
- ✓ SDF registration documentation and correspondence with the SETA in this regard
- ✓ Guidelines provided by the SETA on how to develop the WSP
- ✓ The Sector Skills Plan
- ✓ All information collected during the skills audit
- ✓ Organisational skills priorities
- ✓ Information provided by accredited training providers
- ✓ The training budget
- ✓ The WSP that was submitted to the SETA
- ✓ Grant applications (if any) and related correspondence

3.5 TRAINING INTERVENTIONS

The SDF who is responsible for training and development in the company (usually the Skills Development Facilitator) must now facilitate a process to prioritise the training needs. It must be determined which of the needs are the most important. More time, effort and resources must be spending on these needs. The SDF and the manager will work hand-in-hand on this matter.

It means they have to consider what the benefits will be if they address the training needs and also what the costs will be to implement the training needs. The benefits to the company will depend on the extent to which the interventions will contribute towards the following:

- ❖ The company's vision and the objectives
- ❖ The company's Equity Plan
- ❖ The improved performance of the employees of the company
- ❖ The motivation of the employees
- ❖ The skills priorities that were identified by the relevant SETA.

The next step is to collect information on available interventions that will be the best to address the needs that were identified. One must also identify what resources like facilities, requirements, money and so forth, the company will need to implement these interventions.

The following information is very important in the planning process:

- What interventions are available
- Accredited providers to provide these interventions
- Which skill is addressed by training programme
- Which unit standards and/or qualifications will the learners achieve in the end
- What will the costs be
- Any other resources that will be required
- What will the duration of the intervention be
- Venues

To obtain the above-mentioned information, the SDF or designated person can use the following methods:

- ✓ Pamphlets
- ✓ Newspapers
- ✓ Provider websites
- ✓ Skills development related websites
- ✓ SETA websites
- ✓ Exhibitions

Now that the company has identified possible training providers and they have determined what resources they will need, they must establish if they have the necessary resources. If they do not, it is obvious that they should not go that route and they have to re-plan.

3.5.1 Types of training interventions:

3.5.1.1 SHORT COURSES OR NON-CREDIT BEARING TRAINING

A short course is a structured learning programme that is not based on a unit standard. It is not aligned with a Unit Standard. The learner will not receive any credits for the training attended. It is paid from the organisation's training and development budget. This budget is part of the Strategic budget of the organisation. It includes refresher courses, soft skills and product specific courses.

An example: a one-day course on Time Management by an external training provider.

3.5.1.2 SKILLS PROGRAMMES

A skills programme is a structured programme that is based on a unit standard or standards.

Who may offer a skills programme? Accredited training providers offer skills programmes.

SETAs often list the names and contact details of accredited providers on their websites. Training providers offer public programmes or in-house training that can only be attended by the employees of that specific organization or business.

However, the organization or business can be accredited as a training provider and then facilitate their own learning programmes.

When the employer implements skills programmes, it can be funded in various ways namely:

- Discretionary funds from the SETA
- Use the grants given to the organization by the SETA for developing and implementing the WSP, i.e. mandatory grants
- To use the training and development budget of the organisation or business.

3.5.1.3 ADULT BASIC EDUCATION AND TRAINING (ABET)

Adult basic education and training is the general conceptual foundation towards life long learning and development, comprising of knowledge, skills and attitudes required for social, economic and political participation and transformation applicable to a range of contexts. ABET is flexible, developmental and targeted at the specific needs of particular audiences and ideally, provides access to nationally recognized certificates.

The term **ABET** refers to Adult Basic Education and Training and refers to education up to the equivalent of grade 9 (standard 7). ABET refers to both literacy and numeracy.

Many of today's workers get by with chronically low levels of literacy and numeracy which is a result of the failures of the education system when many of today's adults were at school.

Funding was very low at that time and turmoil in townships deprived many of the opportunity to attend school.

Many employers are unaware of the functional level of literacy and numeracy of their employees and school certificates don't always adequately reflect this, causing problems for employees and employers alike. Abet can be the answer for them.

ABET is a national priority and a number of sources of funding for ABET training are currently available.

The business has to allow workers some time off for studying Abet but the benefits are enormous.

Apart from the gratitude that learners show to their employers for facilitating the learning, the improvement in productivity in the workplace soon drops down to the bottom line.

In a globalised economy local companies suddenly have to compete at international standards. That's hard to do if your workforce can't read and write to an acceptable level.

Ensuring that your workers are functionally literate and numerate is a positive step now available to all.

3.5.1.4 LEARNERSHIPS

Learner ships are formal learning programmes that require learning on the job supported by structured or institutional learning. They are generally designed in the SETAs, approved by the Department of Higher Education and Training, funded from the Skills Levy and must lead to a qualification on the NQF.

Learner ships aim to strengthen the linkage between structured learning and structured work experience in order for learners to obtain a learning that takes place within an education and training institution or through an education and training provider) and structured institutional learning (which refers to a planned workplace experience). Many SETAs use a formula of approximately 70% structured work experience and 30% institutional learning, but the inverse is also possible. Learner ships must lead to a full qualification on the NQF and are expected generally to last between 12 and 18 months.

A learner ship is designed to function as a mechanism to bridge the gaps between the worlds of education and work. Thus, the workplace component of the learner ship is critical, and should best be supported by mentorship in addition to any external tuition. If there are no employers to enter into learner ship agreements with providers and learners, then there are no learner ships.

Running learner ships is the preferred basis for companies to recover a portion of their contribution to the Skills Development Levy.

Learner ships are the key to the success of the Skills Development Strategy.

A learner ship must:

- Consist of a structural learning component
- Include practical work experience of a specific nature and duration
- Lead to a qualification registered by SAQA and related to an occupation.

Contracts must be drawn up between the learner and the employer, the learner and the provider and the provider and the employer.

A SETA may establish a learner ship if:

- The learner ship consists of a structured learning component
- The learner ship includes practical work experience of a specified nature and duration
- The learner ship would lead to a qualification registered by the South African Qualifications Authority and related to an occupation
- The intended learner ship is registered with the Director-general in the prescribed manner

The following people can attend a learner ship:

- Current employees working in the organization or business (18.1).
- Unemployed people who the employer wishes to assist in improving their qualifications but do not wish to employ on a permanent basis (18.2). They will be employed for the duration of the learner ship.

There are three parties involved in a learner ship. They are:

- ✓ The learner
- ✓ The employer (or a group of employers who provides the practical experience)
- ✓ An accredited training provider or it could be a group of providers

The advantages of a learner ship for the employer:

- It can be a source for recruiting people to appoint them on a permanent basis after successfully completion of the learner ship
- SETAs provide grants to the employers who implements the learner ship
- Organisations or businesses qualify for a tax incentive (deductions on their income tax)

- It provides an opportunity to employers to contribute to issues such as the development of the specific sector, providing jobs, etc.

The learner ship can be funded by:

- The employer applies at the applicable SETA for learner ship grants
- The training budget of the organisation

When can the learner ship be terminated? It can only be terminated before the date specified in the agreement if:

- The learner successfully completes the learner ship
- The relevant SETA approves a written application by the learner to terminate the agreement
- The relevant SETA approves if a good case is shown by the employer to terminate the agreement
- The learner is fairly dismissed

Keep in mind that the contract can only be terminated if the learner ship is terminated for the above reasons and provided that the learner was not already employed by the employer when the agreement was started.

3.5.1.5 INTERNSHIP

What is an Internship?

An internship is a work-related learning experience for individuals who wish to develop hands on work experience in a certain occupational field. Most internship is temporary assignments that last approximately three months up to a year.

An intern is one who works in a temporary position with an emphasis on on-the-job training rather than merely employment. An example: student who works in order to gain experience in their chosen field; a medical student or recently graduated medical student working in a hospital as a final part of medical training

An internship provides supervised work experience in an area relevant to a student's career goals. Internships can be paid or unpaid.

3.5.1.6 APPRENTICESHIP

The concept of an apprenticeship has been around since the latter part of the Middle Ages and remains a viable form of training today. Essentially, an apprenticeship is a means of taking on an individual who will learn the skills and practices that are associated with a given career path. The apprentice is taken under the wing of an individual who is recognized and an expert practitioner of the craft, and over a period of years is schooled in all aspects of the career, until the apprentice is able to go out on his or her own and function effectively.

The idea of an apprenticeship first developed as a way for craftsmen to train young protégés in a particular craft, with an eye of one day turning their business over to the apprentice. In other applications, municipal governments would send young men to another location to be schooled in a particular craft, with the understanding the individual would return to the town or village after the apprenticeship and set up a local shop. In both cases, the apprentices would remain with the master craftsman for a number of years, until it was determined that the individual had earned the right to be referred to as a craftsman, and was ready to go it alone.

While most apprenticeships in the middle Ages involved the vocational training of young men, there were some apprenticeship opportunities for young women as well. Most of these involved schooling in what were considered feminine arts, such as embroidery, weaving and sewing, and in some cases learning how to be a governess. Just as with the young men, the young women who entered into an apprenticeship had to demonstrate some degree of natural talent and would commit to a period of five to seven years away from family.

As time went on, the process of apprenticeship underwent a great deal of change. Governmental regulations began to define the limits of apprenticeship, which led to the abandonment of the practice of apprenticing young people in some crafts. In others, the process of apprenticeship began to change into a process that is not unlike the on the job training programs that are often found today. Still, the concept of the apprenticeship is not dead. Especially with the creative arts, it is still possible to attach an individual to someone who is acknowledged as an authority and spend a number of years studying under the tutelage of that expert authority.

3.5.1.7 CONTINUOUS PROFESSIONAL DEVELOPMENT (CPD)

It is the education and training directly related to the profession, undertaken beyond the academic qualification so as to keep up to date with new development and hence the image of the profession.

3.6 EXPERIENTIAL LEARNING

This is a process of making meaning from direct experience, that is, it is learning by doing. It includes two different types of learning by yourself and experiential education. That is the education that occurs as a direct participation the event; learning that is organized by learners themselves, that is self-teach. In experiential education the teacher gives information/knowledge to the learner and prescribed study / learning exercises.

3.7 RECOGNITION OF PRIOR LEARNING

Recognition of prior learning gives a person an opportunity to access further and higher education. The idea is to give recognition and credits to those who have learned through informal ways and can prove competence against unit standards and qualifications.

RPL is a method of assessing evidence of competence that can lead to credits and/or qualifications. It is regarded as the first step in a learning programme to build on skills and knowledge that the applicant already has.

According to the National Standard Bodies Regulations (No 18787 of March 1998) RPL is:

"RPL means the comparison of the previous learning and experience of a learner howsoever obtained against the learning outcomes required for a specific qualification and the acceptance for purposes of qualification of that which meets the requirements."

RPL is a form of assessment. An RPL system must be based on all the 'good practice' features of credible assessment, as well as additional elements in support of the unique features of RPL.

ETQA' s generally require that their education and training providers have assessment policies and procedures clearly set out as an aspect of their quality assurance systems and that, where relevant, the management of assessment includes RPL.

Recognition of prior learning (RPL) means the comparison of the previous learning and experience of a learner howsoever obtained against the learning outcomes required for a specific qualification and the acceptance for the purpose of achievement of that which meets the requirements of a qualification. RPL reflects the belief that people learn in a variety of contexts outside educational institutions and that this learning may be equivalent to the type of learning gained formally.

Put in a nutshell, RPL deletes the invisible demarcations between work, learning and social and leisure environments and regards the exposure to these contexts as making a valuable contribution to the endowment of an individual with skills, knowledge, insights and attitudes which, if assessed appropriately, could warrant the award of relevant credits.

3.7.1 The process of RPL

RPL involves four basic processes:

* Identifying what the applicant knows and can do.
* Comparing those skills and knowledge with the unit standard or qualification.
* Assessing the applicant against these standards and requirements.
* Crediting the applicant where applicable.

RPL consists of basically nine steps:

- The applicant identifies the learning he/she wants to be evaluated.
- The assessor and the applicant express the learning in specific outcomes that is relevant and appropriate for the credits required.
- The applicant collects a portfolio of evidence.
- The assessor evaluates the evidence produced as well as the applicant's competence.
- The assessor makes a recommendation about the learning and the amount of credit that should be given based on their evaluation and the evidence that was produced.
- The assessor writes a report recommending whether the learner should be given credits/qualification.
- The assessor completes an Endorsement of Learning Results Form and submits it to the internal moderator who validates the decision – according to the normal moderation process.
- The moderator submits the Learner Information and the Results to the applicable ETQA.
- The ETQA certifies the applicant by uploading onto the National Learner Database (NLRD).

Methods that may be used for RPL purposes include:

- Interviews
- Portfolios
- Written assessments
- Site visits
- Demonstrations
- Submission of assignments/projects
- Testimonies

3.7.2 <u>Purpose for using RPL</u>

- Personal development and certification of the candidate's current skills and knowledge without participation in another level of a learning programme
- To fast-track advancement from one level to another
- For promotion in his/her career based on the competence achieved
- For assessment of competence for a career or job change
- Recognition of learning that the candidate acquired in an informal setting

3.8. PLANNING AND ORGANISING TRAINING INTERVENTIONS

One of the roles of the SDF (Skills Development Facilitator) or the designated person and the manager is to promote learning interventions. He/she can make use of the following:

- E-mails, faxes or letters to the employees that explain what the intervention is about, the duration thereof, what the learners (employees) will achieve, the venue, etc.
- Brochures
- Presentations to the relevant target group
- Posters

If you design any promotional material, it must include at least the following:

- The name of the training programme
- The duration
- The venue(s)
- The costs involved
- Objectives (what will they achieve and what will they learn)
- The benefits of attending this programme

Another role of the SDF (Skills Development Facilitator) or the designated person is to schedule all the training interventions. The schedule will depend on the following:

- Which training priorities were identified
- The availability of training providers and the learners/employees
- The duration of the programmes
- The availability of the training budget
- The activities of the organisation

Once this is done, it should be communicated to all the relevant parties (e.g. managers, supervisors, employees).

An example of the schedule:

TRAINING SCHEDULE

NAME OF PROGRAMME	NAMES OF EMPLOYEES TO ATTEND	TRAINING PROVIDER	DATE	TIMESLOT	VENUE	RESPONSIBLE EMPLOYEE
Time Management	A. Marais G. Moketsi	Organisation X	14 January	08:00 – 16;00	Training venue on the ground floor	SDF
Project management	P. Boitumelo	Organisation XX	22 Feb – 25 Feb	09:00 – 16:30	At the training venue of the provider	SDF
Exell	G. Masoeu	It Section	12 26 March	08:00 – 15:30	IT section	SDF; IT MANAGER

It is important that learners that are included in the different programmes or training interventions were identified according to the appraisal that was completed and the PDP that was compiled between the employee and the supervisor or manager. These programmes are planned as indicated on the WSP. When these interventions are advertised, other learners may also complete booking or registration forms if there are places available.

The following logistical arrangements should also be kept in mind:

- Travel arrangements for employees
- Accommodation arrangements for employees
- Preparing the venue (neat, tidy)
- Set up of the equipment
- Arrangements for refreshments
- Attendance registers

An example of the **Logistical checklist**:

NAME OF PROGRAMME		**DATE**	
FACILITATOR		**TOTAL OF LEARNERS**	
ITEM		**DUE DATE**	**FINALISED**
Booking of venue(s)			
Travel arrangements			
Confirm training session with training committee			
Mail to managers to inform them			
Distribute posters with info on the training			
Printing of manuals			
Slideshow completed (if applicable)			

Attendance registers printed		
Registration forms printed		
Programme Evaluation forms printed		
Facilitator report printed		
Refreshments arranged		
Equipment booked		
Conformation of facilitator		
Checking of air con		
Note on door of venue		
Checking of availability of toilets		
Sufficient electrical points and extension cords		
Safety of environment		
Seating arrangements		
SIGNATURE		**DATE**	

3.9. REVIEW AND REPORT ON LEARNING INTERVENTIONS

After the completion of a training intervention learners usually have to provide feedback on the strengths and the weaknesses of the training programme. This will assist the SDF in future planning as well as give guidance on the suitability and professionalism of the Training Provider.

An example of such a document is:

EVALUATION/FEEDBACK ON TRAINING INTERVENTION

COURSE: ___________________________________

DATE: _________________

FACILITATOR NAME: ____

EMPLOYEE NAME: ____

Scales: 1 = Very poor; 2 = Poor; 3 = Average; 4 = Good; 5 = Very Good

		1	2	3	4	5
1	How did the Facilitator interact with the learners					
	Reason for your rating:					
2	How was the facilitation skills of the facilitator					
	Reason for your rating:					
3	How was the facilitator's knowledge on the topic					
	Reason for your rating:					
4	How relevant is the course content to your job					
	Reason for your rating:					
5	Was the course of any value to you personally					
	Reason for your rating:					
6	How understandable/clear was the course content					
	Reason for your rating:					
7	Was the venue conducive for training					
	Reason for your rating:					

8	How was the quality of the hand-outs (content)					
	Reason for your rating:					
9	How was the quality of the presentation itself					
	Reason for your rating:					
10	How was the quality of training aids (slideshows, transparencies, etc)					
	Reason for your rating:					
11	What is your overall impression of this course					
	Reason for your rating:					

3.10 ANNUAL TRAINING REPORT / IMPLEMENTATION REPORT

3.10.1 <u>What is an annual training report?</u>

After the successful implementation of the WSP, a company will be eligible for a mandatory Grant. This grant is equal to 50% of the total levies contributed. In order to qualify for this grant, the company will need to submit a report which indicates what actual training and development has taken place at the workplace and also five reasons for deviations, if any, from the WSP submitted.
The report for the previous financial year and the plan for the current financial year need to be submitted together in orders to qualify for the mandatory grant, unless the company is participating for the first time.

This report includes the actual training that was conducted for a particular financial year. The Implementation Report must indicate whether the targets indicated in the WSP were met or not.

The SDF must submit a report to reflect if the planned interventions as submitted in the WSP took place. The costs must also be reported.

In order to compile this report the SDF has to:

- Obtain a copy of the ATR of the relevant SETA

- Study this template
- Identify what should be reported by the organisation
- Develop an information management system
- Compile and submit the report
- Keep record of all training and development activities

3.10.2 Templates:

Every SETA has an ATR template. This is available on the Internet on the different websites.

The SDF should ensure that he/she study the applicable ATR template to identify the information that he/she will need to complete it. Also, do not wait until it is the due date for submission to the SETA. Collect the information as you go along with your training schedule.

The ATR usually requires the following:

- General information of your organisation (name, structure, etc)
- The SIC (Standard Industry Code) of the employer
- The details of the SDF
- The SDL (Skills Development Levy) number
- Banking details of the organisation
- Details of the training committee
- The process used to develop the ATR (who was involved, etc)

After the ATR was compiled, feedback must be given to the Training Committee and the management of the company or organisation. The WSP and the ATR must be compared with one another to determine which of the planned interventions took place and what was not addressed.
This should also be indicated on the personal development plan of each employee. By doing that, you will have a clear picture if the training needs that were identified by the skills audit, were addressed and what is still outstanding.

3.11. INFORMATION MANAGEMENT SYSTEMS

3.11.1 Purpose of an information management system

The first important fact to remember is that the system must enable the SDF to manage skills development related information. The SDF must be able handle both hard and soft copy documents. The SDF should develop this system at the beginning of the skills development process.

The SDF have to ensure that he/she keeps the system up to date at all times.

The following is important to identify:

- What information and/or documents should be collected
- Who must collect these documents or information
- Why is this information collected and what will the SDF do with it
- How should the information be stored
- For how long should it be stored
- Where must it be stored
- Who may have access to the information?

DOCUMENTS	MUST BE KEPT BY WHOM	HOW MUST IT BE STORED	HOW LONG MUST IT BE STORED	WHO MAY HAVE ACCESS TO THE DOCUMENTS
Registration of Skills Development committee members; minutes and agendas of meetings, any other correspondence	Name of the SDF	1. Must be stored electronically. 2. Hard copies must also be stored. 3. Backup copies of the electronically information must also be kept (See your organisation policy in this regard.	3 years	SDF, Skills Development Committee, training department; admin assistant
SDF registration documents: correspondence with SETA in this regard	Name of the SDF		Forever	SDF, Skills Development Committee, admin assistant
Correspondence with SARS regarding the SDL (copies of EMP 101, 102 and 103)	Name of the SDF		Forever	SDF, Skills Development Committee, admin assistant; finance department
Information collected during the skills audit (competencies; employee profiles; interview notes; the questionnaires that were completed; skills requirements and	Name of the SDF		3 years	SDF, Skills Development Committee, training department; admin assistant; managers

skill profiles; training needs identified; training interventions identified; resource requirements)				
Sector Skills priorities	Name of the SDF		2 years	SDF, Skills Development Committee, training department; admin assistant; managers
Information that was provided training providers in terms of different interventions	Name of the SDF		2 years	SDF, Skills Development Committee, training department; admin assistant; managers
Information on planned intervention (costs; duration; unit standards; etc)	Name of the SDF	1. Must be stored electronically. 2. Hard copies must also be stored. 3. Backup copies of the electronically information	2 years	SDF, Skills Development Committee, training department; admin assistant; finance department
All training priorities	Name of the SDF		2 years	SDF, Skills Development Committee, training department; admin assistant
Training budget and reports on actual spending of costs	Name of the SDF		5 years	SDF, Skills Development Committee, training department; admin assistant; finance department

WSPs and ATRs that were submitted to the relevant SETA	Name of the SDF	must also be kept (See your organisation policy in this regard.	3 years	SDF, Skills Development Committee, training department; admin assistant; managers
Documents of logistical arrangements regarding the venues, transport and accommodation, etc)			2 years	SDF, Skills Development Committee, training department; admin assistant; managers
Attendance registers, registration forms; programme booking forms			5 years	SDF, Skills Development Committee, training department; admin assistant; managers
Assessment results			5 years	SDF, Skills Development Committee, training department; admin assistant; managers
Learning/training interventions reviews and evaluation forms			3 years	SDF, Skills Development Committee, training department; admin assistant; managers

3.12 STAKEHOLDERS

The stakeholders that are involved are management, employees, the SDF, Skills Development Committee members and Training Providers.

After every Skills Audit was done and the Training needs were identified, a meeting must be held with all stakeholders. The information must be discussed as the stakeholders must decide on the priorities of these needs. Money must be allocated to the training budget so that these needs can be addressed. The managers and supervisors will then also have an idea of the types of training that will take place. They have to be part of the planning as they will have to release the employees from the workplace to attend training activities.

At the end of the training cycle, the SDF should give feedback to the stakeholders on the following:

- ✓ The training budget – how was the money spent (facilitator costs, venue costs, learning material, refreshments, stationary, etc)
- ✓ The evaluation/feedback report – feedback on training interventions planned and which of these interventions were implemented.
- ✓ The ATR – what was accomplished and what was not addressed in the WSP

An example of a Budget Report on the next page:

BUDGET REPORT

Intervention	No of learners planned and implemented		Actual cost per learner					Total actual cost per learner	Total planned costs	Total actual costs (amount x no of learners
			Facilitator	Venue	Intervention	Learning material	Refreshments			
Financial Management programme	P	1	Included in programme cost	Included in programme cost	R 4 000	Included in programme cost	Included in programme cost	R 4 000	R 4 000	R 4 000
	I	1								
Supervisory skills	P	2	Included in programme cost	Included in programme cost	R 3 000	Included in programme cost	Included in programme cost	R 3 000	R 6 000	R 6 000
	I	2								
Project management	P	1	Included in programme cost	Included in programme cost	R 10 000	Included in programme cost	Included in programme cost	R 10 000	R 10 000	R 10 000
	I	1								
Excell course	P	2	R 2 000 per	R400 per	R 0	R 100	Included in	R 7 300	R 14 600	R 7 300

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	1	1	day x 3 days = R 6 000	day x 3 days = R 1 200			programme cost			
OD ETD certificate	P 1	2 1	Included in programme cost	Included in programme cost	R 20 000	Included in programme cost	Included in programme cost	R 20 000	R 40 000	R 20 000
TOTAL									R 74 600	R 47 300

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Example of an evaluation report to the stakeholders:

NAME OF INTERVENTION/ TRAINING PROGRAMME	IMPLEMENTED YES	NO	NUMBER OF EMPLOYEES PLANNED	NUMBER OF EMPLOYEES ATTENDED	MUST BE ADDRESSED IN FUTURE	COSTS INVOLVED	COMMENTS
Time Management	X		50	35	Yes	R 1 500	Completed
Project Management	X		2	2	No	R 0	Not yet completed
Excell		X	3	0	Yes	R 6 000	Not yet addressed

Recommendations by SDF:

____

____

____

____

NOTES:

1. Please keep in mind that the SDF must prioritize these needs that were not addressed. Are they critical, for example, the secretary that did not receive Excell training or is the Time management more important?

2. Also take the costs into account as it will be from your new budget for your new WSP.

3.13 THE LEARNING CULTURE OF THE ORGANISATION

The organisational culture can be defined as a set learned beliefs, values and behaviours that is shared by the employees and management of that organisation.

A learning organisation is an organisation that proactively creates, acquires and transfer knowledge and then changes its behaviours on the basis of these new knowledge and insights.

3.13.1 What are the characteristics of an organisation?

- The pre-requisite for learning is new ideas. To infuse new ideas into the organisation, they must:
    - Scan the external environment constantly
    - Hire new talent and expertise when needed
    - Devote significant resources to training and development of the employees
- New knowledge must be transferred throughout the organisation. Information, ideas and knowledge must be shared among all employees.
- Behaviour must change as a result of the new knowledge.

3.13.2 What is the current status of learning and development in the organisation?

Before an organisation can start to promote a learning culture, the current status of that organisation must be known.

In order to find out what the current status of your organisation is, you can use the following sources:

- Your training and development plans
- All reports on training and development of the past
- Interviews that were done and new interviews
- By observing your employees

Most organisations or companies are already involved in skills development activities. They give opportunities to employees to attend training interventions so that the employees can develop. The management team (supervisors and managers) must support the employees and encourage them to develop. Only when this is happening you can claim that your organisation has a learning culture.

However, you do get organisations and companies who do not have this development taking place.

Although the Skills Development Act forces us to develop WSPs, it is not always implemented. By implementing your WSP, you are forced to let training/learning take place.

If a positive learning culture exists in your organisation, it will be easy to implement your training and development plans.

If you do not have a learning culture, the SDF and the HR Department will have to put all effort in to get your employees to attend the training activities of your organisation.

3.13.3 Elements of a learning culture

Leading management thinker, Peter Senge, has identified five discipline of a learning culture that contributes to building a robust learning organisation.

These elements are:

Personal mastery	An environment that encourages personal and organisational goals to be developed and realised in partnership.
Mental models	An awareness that a person's "internal" picture of their environment will shape their decisions and behaviour.
Shared vision	A sense of group commitment that is built by developing shared images of the future.
Team learning	Transformed conversational and collective thinking skills, so that a group's capacity to reliably develop intelligence and ability is greater than the sum of its individual member's talent.
System thinking	The developed ability to see the "big picture" and understands how changes in one area.

3 A. Group Formative Exercise: Personal Development Plan

3 B. Individual Formative Exercise: Lifelong learning

3 C. Group Formative Exercise: Monitor progress

3 D. Individual Formative Exercise: Training needs analysis report

3 E. Individual Formative Exercise: Learning programmes

3 F. Individual Formative Exercise: Training needs analysis techniques

3 G. Individual Formative Exercise: Learnerships

3 H. Individual Formative Exercise: RPL

3 I. Individual Formative Exercise: Skills Gaps

S 1: Summative Exercise

Learning Unit 4

Selecting and coaching of employees

Selecting and coaching of employees

Unit Standards	
252035	Select and coach first line managers
Specific Outcomes	
SO1. Select first line manager for a specific position. SO2. Plan the coaching process of a first line manager. SO3. Coach selected first line manager. SO4. Monitor and measure the results of coaching sessions.	
Learning Outcomes	
1.1	An analysis is conducted of the job profile to determine the key performance areas for the first line management position.
1.2	Selection and weighting criteria for the Key Results Areas of the first line management position are described on the basis of the job profile.
1.3	Liaison with the recruitment function of the entity is undertaken to ensure understanding of the requirements of the position.
1.4	Interviewing, desk checking and/or other techniques are used to arrive at a short list of the candidates who applied for the position.
1.5	Decisions are taken and offers made to the selected manager in accordance with organisational policies and procedures

2.1 A coaching plan and schedule is drawn up according to identified priorities in a unit.

2.2 Records of expected performance against the manager's Key Results Areas are prepared to serve as a basis for discussions with the selected manager.

2.3 A system is implemented for recording the decisions, commitments made and other

3.1 The purpose, content and schedule of the coaching process is explained to the selected manager in order to reach agreement on the coaching process.

3.2 During the coaching sessions the selected manager's performance is discussed against the Key Result Areas and recorded for future reference.

3.3 Identified gaps and actions to close them are agreed upon and recorded in the coaching action plan.

3.4 Feedback given to the manager is honest, constructive and supportive.

4.1 Actions agreed to at a coaching session are monitored at the times agreed to during the coaching session.

4.2 Positive feedback is given to the selected manager for accomplishments against the coaching action plan.

4.3 Corrective actions agreed upon are recorded in areas where requirements in the coaching action plan have not been met.

4.4 Follow up action taken on the basis of the manager's response to the coaching is in line with organisational policies and procedures.

4.5 Line managers are encouraged to use the coaching process with people reporting to them after explaining and agreeing a system with them.

Critical Cross-field Outcomes
▪ Identify and solve problems relating to the implementation of a coaching process. ▪ Work effectively with others during coaching sessions with a first line manager. ▪ Organise and manage oneself and one's activities in preparing a coaching schedule. ▪ Collect, evaluate, organise and critically evaluate information concerning applicants for a position. ▪ Communicate effectively in explaining the coaching purpose and process. • Demonstrate an understanding of the world as a set of related systems by guiding the first line manager to understand the interrelationship between work processes.

Introduction

Selecting the right people is critical for the advancement or success of any organisation. Yet from time to time selection decisions are still made on the basis of inaccurate or incomplete information. In the short term this can result in litigation and cost the organisation a lot of money and affect its image negatively. In the medium and long term, it can result in low productivity, absenteeism and high labour turnover.

Recruiting the right type of employee may take a bit of time and effort. Do not be afraid to think "outside of the box" and be a bit creative or inventive when advertising an available position. Treat each person with respect and do not set unreasonable goals or expectations. You may have to try several different outlets and recruiting techniques before finding the result, and the response, you are looking for.

When recruiting, selecting, staffing and hiring, pick the smartest person you can find. Retention of your best employees starts with your recruiting, staffing and hiring strategies, policies and procedures. Recruiting, testing, selection and staffing are the focus of these resources.

When an employee is selected to be a first line manager, it is always to the benefit of the organisation to ensure that the person was selected according to certain standards and criteria and that the new manager will be coached until he/she reaches a stage where he/she can perform on their own.

1. RECRUITMENT FOR FIRST LINE MANAGERS

1.1 The DEFINITION for recruitment is:

Recruitment and selection is a process to attract, recruit and retain the right people with the right competencies at the right time.

1.2 The OBJECTIVES are:

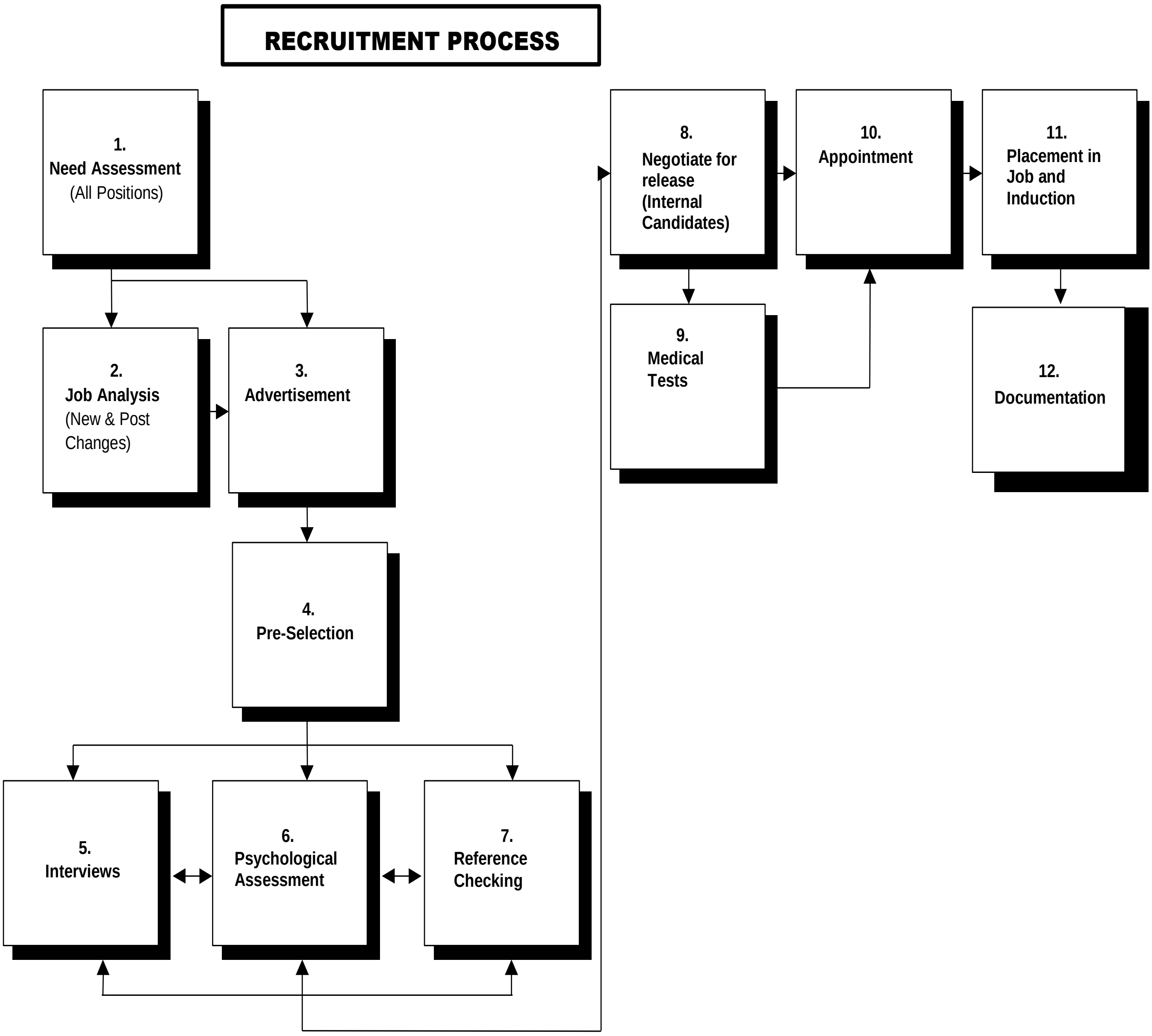
The custodian of the recruitment process will have the following objectives:

- To be attuned at attracting and retaining a first line manager with the required competencies (skills, knowledge, and behaviour) and attitude.
- To supply a number of potential employees for selection.
- To ensure a continuous supply of high-quality human material to meet the organisations immediate and future human resource needs.

- To be attuned to establish a positive image of the organisation as an employer in the labour market.
- To recruit in line with relevant legislation or policy.
- To reduce turnover and recruit within the shortest period of time.

1.3 <u>The recruitment process</u>

A best practice recruitment process would be an integrated set of activities / actions that is followed in chronological order according to a pre-determined set of standards. Such a process should ensure that the appointee is the best fit for the position.



For the purposes of this Unit Standard (252035) we will pay attention only to steps 1 – 4.

1.3.1 Needs assessment:

Objective: To determine the need for a position in support of the organisational strategies

Benefits of a detailed needs assessment:

- You will be able to ensure that staff is recruitment in support of the bigger organisational strategy
- Reliable information is available to base the recruitment process on
- Future staffing needs are considered, and retrenchment/ downscaling can be prevented
- Workforce planning is enhanced

Steps to be followed:

1	Line Management identify need for position and forward to HR
2	HR analyse the need
3	HR make a recommendation to line on the filling of the position
4	Line Management and HR determine the recruitment strategy

Guidelines on needs analysis:

- Is it in line with the Human Resource plan?
- Is it in the line with the Organisational strategy?
- Do we perhaps have an oversupply in another department? And should we consider re-skilling?
- Is this perhaps a position for a fast track development candidate?
- Does this appointment make sense from a work study point of view? / Is this position really required?
- Is this an existing position, i.e. an approved job profile and grade?

1.3.2 Analysis of the position

Objective: To determine the critical outputs and core competencies for the position.

Benefits of Job Analysis:

- Ensure standard job descriptions.

- Job description can be used in compilation of advertisement, interview guide, etc.

Steps to be followed:

1	Define the purpose of the job.
2	Determine the critical outputs for the job.
3	Identify core competencies needed for successful performance in the job.
4	Develop/ adapt the job description

Documentation / information required for the analysis of the position process:

- Inputs from the job incumbent (if any), close colleagues and the supervisor/ manager

1.3.3 Advertisement:

Objective: To attract the right people with the right skills and experience.

Steps to be followed:

1	Agree with management on internal / external advertisement.
2	Draw the advertisement.
3	Obtain sign-off on the content of the advertisement from the relevant line manager.
4	Seek approval on the relevant level.
5.	Ensure access to all internal staff
6.	Acknowledge receipt of all applications.
7.	Keep a database of all applications.

<u>Guidelines for Internal Advertisement</u>

- Advertisement to be placed by Human Resources.
- Both the HR Officer and the Manager's names are to be indicated in the advertisement.
- Base the advertisement on the job requirements as per the job specification.
- Eliminate grounds for unfair discrimination.

- Advertisement to be as specific as possible.
- Avoid vague statements like computer literacy, relevant experience etc.
- Verify the content of the advertisement with manager.
- Submit advertisement for publication/ distribution. Ensure access to all.

1.3.4 <u>Pre-selection:</u>

Objective: To pre-select candidates that meets the requirements of the advertisement.

Steps to be followed

1	Agree with management on the process for pre-selection.
Sifting process	
2	Draw and prioritise the list of criteria for "sifting" based on the job specification.
3	Compare CV's with the requirements.
4	Make notes on why applicants do not meet the set criteria.
5.	List the CV's / applicants that meet the set criteria.
Short listing	
6.	Agree on any additional job-related criteria to set in order to deduce the pool of candidates.
7.	Determine a list of potentially most suitable candidates to invite for interviews.
8.	Inform all candidates that have not met the <u>minimum criteria</u> set for the position that they have been unsuccessful.

	Keep options open on candidates that do meet the criteria.

Guidelines for pre-selection:

- Joint responsibility of Management and HR.
- Map out the process clearly to be followed for short-listing.
- Use the job specification that appeared in the advertisement.

- List the essential criteria versus the non-essential criteria for the position.
- Rank the essential criteria in the order of importance.
- Additional job-related criteria may be set in order to deduce the pool of candidates.
- Record all decisions made, preferably on a spreadsheet, indicating reasons for selecting and not selecting candidates.
- Always make a note on each CV indicating why a candidate is not successful.

Essential Tips

- Short-listed candidates should meet the criteria for the job.
- CV's with incomplete information or no contact details cannot be considered for short-listing purposes.
- No late applications should be considered.

1.4 Job profiles:

Job profiles are one of the most important parts of a HR System. The information captured by the Job Profiles will be used for all Human Resource Management Systems, i.e. Recruitment and Selection, Performance Management, Career Management, Training and development, etc.

Purpose

The objective of a job description is to have a clear outline of duties and responsibilities to make the screening process as direct and focused as possible.

Job descriptions may have the following elements:

- improvement cooperation by giving all members of the organization insight in existing responsibilities/roles
- enabling career moves within the organization
- determination of amount of pay per function

- increase of results by specification of responsibilities and key performance indicators
- development of job owner by specification of competences
- may include the phrase "perform other duties as assigned"

Why job profiles?

Job profiles are Job Based Job Descriptions. Unlike traditional system used for describing work that were focused on the activities that people have to perform to be successful, a Job Profile focuses on the outputs of results of work that people are responsible for. This is accepted internationally as the more acceptable way of describing work, allowing for new and creative ways of working while still maintaining and preferably improving on the quality of work produced.

What is a Job Profile?

It consists of two distinctive parts:

- An output profile describing the job results produced by individuals, group of individuals, job families/clusters of defined disciplines.
- A competence profile describing the specific knowledge, skills and attitudes/values that will enable individuals to deliver the job results required.

Job profiles can be used for purposes, i.e. organisation design and development, recruitment and selection, assessment and HR development, etc.

Job description/profile is a list of the general tasks, or functions and responsibilities of a position. Typically, it also includes to whom the position reports, specifications such as the qualifications needed by the person in the job, salary range for the position, etc. A job description is usually developed by conducting a job analysis, which includes examining the tasks and sequences of tasks necessary to perform the job. The analysis looks at the areas of knowledge and skills needed by the job. Note that a role is the set of responsibilities or expected results associated with a job. A job usually includes several roles. The job description might be broadened to form a person specification.

Example of a job profile/description:

XXXXXXXXXXX (Name of organisation)

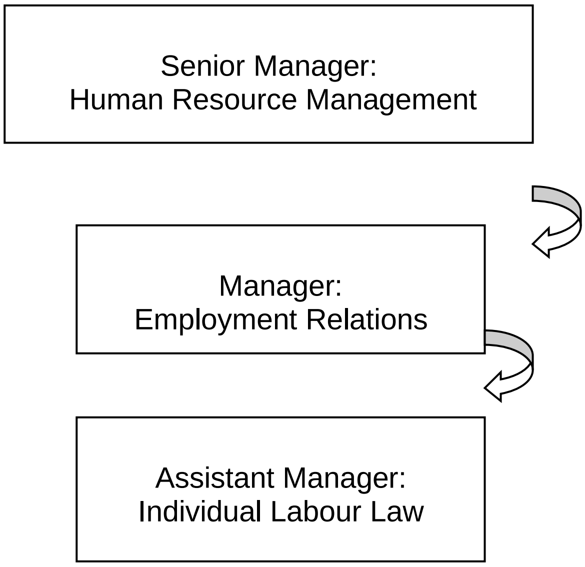
JOB DETAILS

Current Post Holder	: Mrs XXXXXX
Post Title	: Chief Training Officer
Persal Number	: 1234567
Post Number	: 1200
Post Level	: 9
Salary Level	: 9
Date of appointment	: 1 May 2008
Date of Entry into Current rank: 1 May 2008	
Component Number	:
Location	: xxxxxxxx
Accountable to	: Manager: HR/Labour Relations
Reports to	: Manager: HR/Labour Relations

JOB PURPOSE

- ✓ To promote sound training and development in the XXXXXXXXXXXXXXX.

DIMENSIONS/FLOW CHART



KEY PERFORMANCE AREAS

1. Supervision of Skills Development Committees.
2. Advise managers or line supervisors and management of the department, verbal or otherwise with regards to Training and Development matters.
3. Management of procedures with regards to budgets, training sessions, skills audits and feedback.
4. Attending training meetings.
5. Management of monthly feedback.
6. Ensure efficient data management system, relating to training and development, regional reports and high-level analysis to supply strategic management information on organisational trends and climate.

7. Development of training material.
8. Development of training and development database.
9. Development of training courses.

CLIENTS: COMMUNICATION AND WORKING RELATIONS

- ✓ Managers, management and employees in the Department (advice and support)
- ✓ Unions.
- ✓ Fellow employee colleagues in
- ✓ Other Government Departments (benchmarking and assistance)
- ✓ Any other relevant stakeholders (outside training providers)

WORKING CONDITIONS

- ✓ Head office: XXXXXXXX
- ✓ Normal working hours per week
- ✓ Travelling

MATERIAL EQUIPMENT USED

- ✓ Personal Computer
- ✓ Telephone and Fax facility
- ✓ Legislation, policies, resolutions
- ✓ Transport allowances or subsidized
- ✓ Training equipment

COMPETENCY PROFILE

Competencies	Essential	Desirable
Education and training	Three (3) year Bachelor's Degree or Diploma	Registered assessor Registered moderator Design and development of assessments
Experience	3 - 5 years in Training and development field	Training and development in the Public Service
Knowledge	1. Training and development laws and policies 2. Skills Audits 3. Assessments 4. Conflict management 5. Moderations 6. Report writing 7. Computer literacy	1. Public Service legislator framework 2. Assessments and moderation policies
Skills	1. Communication 2. Organizational and co-ordination 3. Problem solving and analytical thinking 4. Facilitation skills	1. Policy development and interpretation 2. Advisory and presentation
Values and attributes	1. Fair and firm 2. Consistent and persistent 3. Confidentiality	1. Highly persuasive 2. Independence

CAREER PATHING

- ✓ Next higher post: Training manager
- ✓ Nature of tasks in higher post: Supervisory and managerial responsibilities

DIFFICULT PART OF THE JOB

- ✓ Demands and expectations from management and labour movements
- ✓ Work output sometimes not predictable due to scheduled time frames and complications.

JOB DESCRIPTION AGREEMENT

AGREEMENT

The Job Description has been discussed with me and I understand the contents thereof.

NAME OF JOB HOLDER: ________________________________

SIGNATURE: ________________________

DATE: ___________________

NAME OF SUPERVISOR: __________________________________

SIGNATURE: ______________________

DATE: __________________

APPROVAL FOR IMPLEMENTATION

APPROVAL

I hereby approve the implementation of this job description

SIGNATURE: ___________________________ DATE: ________________________

RANK: ________________________

1.5 <u>Criteria for Key Performance Areas</u>:

1.5.1 WHAT IS A KEY PERFORMANCE AREA?

A performance area or key performance area (KPA) is a measure of performance. Such measures are commonly used to help an organization define and evaluate how successful it is, typically in terms of making progress towards its long-term organizational goals. KPAs can be specified by answering the question, "What is really important to different stakeholders?". The act of monitoring KPAs in real-time is known as business activity monitoring (BAM). KPAs are typically tied to an organization's strategy using concepts or techniques such as the Balanced Scorecard.

Performance Areas differ from business drivers & aims (or goals). A school might consider the failure rate of its students as a Key Performance Area which might help the school understand its position in the educational community, whereas a business might consider the percentage of income from return customers as a potential KPA.

But it is necessary for an organization to at least identify its KPAs. The key environments for identifying KPAs are:

- Having a pre-defined business process (BP).
- Requirements for the business processes.
- Having a quantitative/qualitative measurement of the results and comparison with set goals.
- Investigating variances and tweaking processes or resources to achieve short-term goals.

Start by identifying the **Key Performance Areas**. Please note that these must be outcomes/results based. You must group specific tasks together in bigger categories. For example: In the case of a Secretary, filing, typing, answering the telephone, taking messages, managing diary etc. can all be grouped together as 'Administrative support'.

Depending on their level, an individual staff member should have no more than 3-7 KPA's. Make sure that all job functions and responsibilities are covered under the agreed KPA's. It is therefore important that the first line manager know what is expected of him/her by ensuring that he/she understands theses KPA's.

This is a very important phase. The performance and development of every single employee will be affected on an annual basis by the details agreed to during this discussion. Eventually the first line manager will be rated according to his/her performance in accordance with his/her individual performance plan. Most importantly the appropriate KPA's must be identified for each individual. KPA's must cover the complete spectrum of an individual's functions and responsibilities. Similar positions will therefore have similar KPA's. The next step will be to set SMART objectives for every KPA.

1.5.2 OBJECTIVES FOR EACH KPA

The next step is to formulate performance objectives that will lead to the achievement of the agreed KPAs. For each KPA you could potentially have between 3 and 8 performance objectives. Objectives must be specific, measurable, achievable, and realistic and time bound. We talk about SMART objectives:

S = Specific

M = Measurable

A = Achievable

R = Realistic

T = Time bound

Objectives are required to give direction and purpose to activities. Having an objective allow individuals some opportunities to use their initiative in an appropriate way, rather than just doing a task without being able to apply the intelligence to do it better or to adapt to changed circumstances.

- **Specific**

  What is the exact scope of the objective? What is included and what is not?

  What might be thought to be included but is being done by someone else?

  What must be done with the outputs?

- **Measurable**

  What measures will be used to know that the objective has truly been reached? When and how often will the process be measured? What measurement tools can be used to determine success? What format must the output take?

•

Achievable

A delegated impossibility is still impossible! If there is doubt over whether the objective is achievable, then the first part of the process should be either to test feasibility or to identify what would have to be changed in order to make the rest feasible.

• **Realistic**

What is a realistic task for a functional expert to undertake in a week, may not be realistic for a junior joiner in a month? A series of roll-out meetings might be scheduled in two weeks, but clashes with public and personal holidays could mean that a month will be required. The test for a good objective is that it always deals with the reality of how long it will take to do things, rather than how long we would like it to take if we could ignore inconvenient facts.

• **Time bound**

An objective without a clear specification of its timing priority is likely to be put at the bottom of the list. It will not get done. The simplest way to ensure that an objective will be achieved is to agree on a realistic deadline, even for objectives that are not time critical for success.

Activity

List the goals and objectives contributing to the achievement of your job as Key Performance Areas. Please note that KPA's refer to ideal outputs. You should be able to summarise your goals and objectives in four to seven KPA's. Ask yourself the questions: "What is the purpose of my job?" "What am I supposed to achieve?" "What is the reason for my existence in this organisation?"

My Key Performance Areas are:

KPA 1:

___

KPA 2:

___

KPA 3:

___

KPA 4:

___

KPA 5:

___

1.6 Recruitment Techniques:

Once you have identified the technical skills and job attributes you are seeking in the new fist line manager, you should consider the most effective way to identify and assess these in candidates. Go over the position description, point by point, and ask yourself, "How best can I learn about the applicant's ability to perform this function?"

The job interview will be a primary source of information about applicants. However, it may not be the best source for some information. A job reference may be the most effective way to learn about dependability, follow through, and ability to get along with co-workers written application materials may provide insight into educational background and general written communication skills.

Consider using work samples to ascertain specific job skills. For an office position, applicants can be asked to complete a word processing exercise in which they prepare, edit, and/or print documents. The supervisor evaluates and documents the quality and quantity of work completed in the time allotted. Other examples include setting up a spread sheet, creating a database, preparing correspondence, or prioritizing a list of tasks to complete a project. For maintenance positions, applicants could be asked to identify repairs needed in a room or to actually perform a repair. One supervisor, hiring a Plasterer, asked applicants to mix and apply plaster to a wall. The supervisor evaluated and documented the results and used this information in determining the most qualified candidate. In setting up a work sample exercise, as with other parts of the selection process, you may need to make reasonable accommodations for applicants with a disability. The Employment Manager can assist you with the reasonable accommodation process.

1.6.1 REFERENCE CHECKS

Completing reference checks is a critical part of the selection process. Information you have received in an interview is biased and typically includes only what the applicant wishes you to know. A thorough reference check may produce additional information to help insure that the most suitable candidate is chosen as the new first line manager. It is a way to clarify, verify and add data to what has been learned in the interview and from other portions of the selection process. Never reveal the information received from a previous employer to the candidate. This information should be kept confidential or your sources for references will dry up quickly. If the new manager is chosen from your current pool of employees, this will not really affect you. You know the person and his/her competencies.

It is however, always good to confirm what you already know by checking with his/her immediate current supervisor.

1.6.2 BACKGROUND CHECKS

Background checks are a critical component in hiring. When it comes to your business, you cannot afford to make a poor hiring decision. In fact, for most businesses, one bad hire can make the difference between success and failure. According to the U.S. Chamber of Commerce, 30% of small business failure is caused by employee theft. Effective background checks mitigate your risk of hiring objectionable, or even dangerous, employees.

1.6.3 INTERVIEWING

The purpose of an interview is to elicit information from an applicant to determine his or her ability to perform the job. Successful interviewers learn how to ask the right kind questions, how to keep the applicant talking about relevant information, and how to listen.

Much of what is learned about applicants in an interview is based on their past experience. Past performance is our best indicator of future performance. This does not mean that someone who had performed poorly in the past cannot improve in skills and attitude. Generally, however, you can see a trend in performance through several jobs or assignments. Sometimes interviewers assume that a candidate who has done something has done it well or that longevity on a position is a sign of success. These are not well-founded assumptions! A reference check can verify the quality of the work performance.

A person(s) doing the interview acts as a "recruiter" and is a gatekeeper of the organisation because he/she is responsible for finding the employee with the desired talent and skills. Part of that process entails facilitating the interviewing and hiring process for the specific position. Typically, a "recruiter" or human resources representative conducts a recruitment (or screening) interview to ascertain whether or not candidates are qualified and then recommends the best candidates to the hiring manager for in-depth interviews. There are a number of common techniques that can be used in the recruitment interview, yet implementation should vary by company.

1.6.3.1 Speed Interviewing

Seasoned applicants usually know that interview questions sometimes tend to be the same and are familiar with the "suggested" answers. Keep applicants on their toes and require them to think on their feet with speed interviewing. Speed interviewing entails asking applicants to answer questions or describe things about themselves in a specific amount of time. Examples include: "In one minute, tell me why you think you are the most qualified" or "

List your top three organization techniques in 30 seconds." Depending on the number and types of questions, speed interviewing is most effective over the phone because the recruitment interview may only last 10 to 15 minutes. However, holding the interview in person can be effective in order to physically observe how applicants work under pressure.

1.6.3.2 Fast Forward

Most applicants can tell you where they have been and where they are with their experience and training. But how many can tell you where they are going? Ask applicants to describe what position or career they see themselves retiring from and explain what roles or positions they intend to hold up until that point. Applicants who can answer this easily have taken some time to think about their career and how working at your organization can fit into their plan. Applicants who have difficulty with this question may only be focused on getting a job for the moment.

1.6.3.3 Skills Profile Discussion

Because the hiring manager will ask more in-depth questions, a recruiter can choose to do a basic skills profile discussion. A skills profile involves assessing what basic skills the applicants have that are required for the position. Applicants can also elaborate on other skills or experience. This technique is more casual and is mainly a conversation that can be done in person or over the phone.

1.6.3.4 Non-Directive and Directive Questions

How you phrase a question can affect the type and amount of information you get from the candidate. The main characteristic of non-directive questions is that they do not give the applicant any indication of the desired answer. Structurally, the questions are in the news reporter's style of who, what, when, where and how. Often, they begin with the words "describe" or "explain". Examples of non-directive questions include:

* What do you consider to be the most important responsibilities of an office manager?
* Why does this position interest you?
* How has your background prepared you for this position?
* What types of equipment did you operate regularly on your job at XYZ Company?
* Describe your experience with word processing on your last job.

You may need to ask follow-up questions if the responses to your questions are unclear or incomplete. Clarify and verify any piece of information you do not understand by asking the candidate to explain his or her answer again or to elaborate on the given answer.

* Can you tell me more about that?
* Could you give me an example of what you mean?
* What makes you feel that way?

Directive questions are useful for drawing out specific information. In direct questioning, the interviewer asks, directs, or guides the applicant to specifics. Often, these questions result in a "yes"; or "no" response. Examples of directive questions include:

* Do you currently have a Limited Maintenance Electrical license?
* Are you still employed at XYZ Company?
* Can you set up a computer spreadsheet using Excel?

1.6.3.5 Special Questions

There are several types of questions that can elicit important information as well as add interest and variety to your interview.

A good technique to learn about an applicant's problems solving skills and judgment is to ask "situation-problem" questions. Create a scenario that is common on the job and ask the applicant how they would handle it. As a follow up, ask if they ever faced this situation on a job before. An example of this type of question:

Assume you are hired as a receptionist in our department. Our front desk is very busy with walk-in traffic and phone calls. There are several people waiting at your desk for assistance and you are on the phone with someone who is very upset because of an error on her transcript. This phone conversation seems to be going on and on. How would you handle this situation? Have you faced this situation on a previous job?

Another type of information that is frequently asked of applicants is self-evaluative information. One type of question asks about the applicant's likes and dislikes. Self-evaluation questions are also a good way to learn about an applicant's perception of their strengths and weaknesses. Keep in mind, however, that the answers are highly susceptible to different interpretations.

Examples of self-evaluation questions include:

* What did you like best about that job (class, teacher, supervisor, etc.)?
* How would your last supervisor rate your ability to deal effectively with the public?
* What do you see as your strengths? Weaknesses?
* Why were you the one promoted to lead worker on that job?

"Behaviour description" questions can be a powerful tool in an interview. This type of question asks the applicant to describe as closely as possible the actual behaviour that went on in a particular situation. The use of superlative adjectives (i.e., most, least, best, worst, toughest, etc.) tends to stimulate specific events in the mind of the interviewee and therefore makes it easier to respond. As with other types of questions, these should be based on essential functions of the job you are filling. An example of a behaviour description question would be:

Tell me about your best accomplishment in your last job. Start with where you got the idea, how you implemented the plan, and how you dealt with any obstacles to your idea.

It is imperative to evaluate the same criteria for each of the candidates; however, this does not mean that you have to rigidly stick to the same control questions. Some applicants may be forthcoming with information, but you may need to ask follow-up or directive questions of others. Some candidates may provide (or withhold) information that raises concerns or issues that should be investigated more fully in your questioning.

1.6.3.6 DURING THE INTERVIEW

After you have developed the questions you will ask of each applicant, it is recommended that you develop a form that includes the questions, interviewer name, date, name of applicant, position being filled. The form should have plenty of room for noting responses to questions, follow-up questions, and space for additional comments. Each interviewer should have an interview form for each applicant.

Some interviewers find that they spend a lot of time in interviews describing the position and providing general information for applicants. Think about what you want applicants to know about the job, your department and so forth. Instead of sharing information verbally in each interview, it may be more efficient to provide written materials for applicants. The focus of the interview can then be on the applicant and their qualifications.

When calling applicants to schedule interviews, let them know who will be present during the interview and the approximate duration. Schedule the interview in a room that is accessible to people with disabilities and free of interruptions or other distractions.

The first step of a successful interview includes building rapport with the applicant. Introduce interview panel members including their title and relationship to the position being filled. Let the applicant know that they will be given the opportunity to ask questions at the end of the interview. Give a time frame (e.g., "We expect the interview to last about 30 minutes and have questions for you").

1.6.3.7 REINFORCEMENT

A good interviewer will be an active listener and use both verbal and nonverbal cues to encourage the applicant to divulge pertinent information. Nonverbal skills include smiling, nodding your head, or leaning forward in your chair. Another nonverbal cue is silence. It is an effective tool to indicate to the candidate that more information is desired. If the candidate does not offer additional information, you should provide verbal cues or ask for the information directly.

Verbal cues can be interjected when you wish the applicant to continue a discussion of a particular subject. Positive verbal cues can also be used to assist an applicant in talking about matters that may be embarrassing or produce other emotional responses. Examples are: "Oh, I see," "Of course." The tone of voice used should be appropriate for the situation. In an embarrassing or emotional situation, your tone should be supportive and understanding and the voice low-keyed. If additional information is desired, your voice should be lighter, and the tone interested or quizzical.

1.6.3.8 CONTROLLING THE INTERVIEW

Sometimes an applicant may digress in their response or may start to repeat what they have said previously. In these instances, it is important for the interviewer to take control of the interview. When an applicant starts to digress, it is generally a good idea not to cut them off immediately. The applicant may be using this time to relax. In addition, this rambling may provide valuable data by giving some indication of the person's ability to organize his or her thoughts or communicate effectively. If the candidate strays too far afield, or begins repeating, it is your responsibility to bring them back on course. This should be done when the rambling is no longer job-related; this is especially true if the applicant divulges personal information.

A good way to handle this situation is to acknowledge the applicant's comments and direct the conversation back to the original question. An example of this technique:

... An applicant is complaining about the disorganization of a previous employer and is beginning to repeat information. Wait for a slight pause and interject something like,

"I understand that that can be a frustrating environment. However, I would be more interested in learning more about your experience with ______."

Sometimes an applicant is so interested in the position that he or she begins to interview you. If the applicant begins asking questions and interrupts the flow of the interview, an effective response is to acknowledge their interest, indicate there will be time for questions at the end of the interview, and return to the original question.

1.6.3.9 LISTENING

Good listening skills are an essential part of good communication and thus are very important in interviewing. Since the purpose of an interview is to determine the applicant's knowledge, skills and abilities as they related to the essential functions of the job, it is important for the applicant to do most of the talking; you cannot listen while you are talking. There are several techniques to enhance your listening abilities.

* Empathize with the other person. Try to put yourself in the applicant's place.

* Ask questions when you do not understand.

* Concentrate of how something is said. We frequently concentrate so hard on what is being said that we miss the importance of emotional reactions and attitudes. A person may be communicating more through emotions than the actual content of the words.

* Do not interrupt too soon. Give people time to express themselves.

* Focus your attention on the other person's words, ideas and feelings related to the subject.

* Look at the person and attune yourself to their nonverbal communication. Watch face, eyes, hands and posture.

* Avoid distractions. Put down any papers, pencils or other items that can distract your attention. Try to control outside noise levels and interruptions when you are trying to listen.

* Be aware of your emotions and prejudices. Push your worries, fears and problems outside the meeting room. Control your anger or other emotional reactions to the other person.

* Avoid jumping to assumptions. Do not assume that others use words the same way you do; that they did not say what they meant, but you know what they meant; that they are avoiding looking you in the eye because they are telling a lie.

1.6.3.10 Tips on interviewing

Here are ten quick tips to help keep you in control during an interview:

- Maintain objectivity. Recognize when you feel either too relaxed or uncomfortable-keep your buying switch in the "Maybe" position.
- Don't start the actual interview right away; chat or take a walk together instead. This will help minimize emotions and set up the framework for a good dialogue.
- Use a pre-planned, structured interview. Write down a few performance-oriented questions to ask right away, whether you like the candidate or not.

- Measure your first impressions again after 30 minutes. Compare with your original feelings and evaluate your reactions.
- Change your frame of reference: ask tougher questions if you like a candidate, easier ones if you don't.
- Listen four times more than you talk. The interview isn't a casual conversation - it's a fact-finding expedition. Get a page of notes for each of the candidate's accomplishments.
- Treat the candidate as a consultant, someone you're paying to listen to. We always listen more carefully to those we consider experts.
- Talk about real work instead of hypothetical issues. Accuracy will increase if the interview is more like a problem-solving session.
- Use a panel interview to minimize emotional response. With less worries about a one-on-one relationship, you can get to the truth faster.

1.6.3.11 Conclusion

A good way to improve your questioning technique is to experiment. Practice your phrasing of questions prior to conducting interviews. Add some special questions to your interviews and evaluate the types of responses you receive. Critique each interview to determine how to improve your style. Good questioning skills can definitely enhance your interviewing success.

Activity

Divide into groups of three. One will be the interviewer, the other the candidate and the third person will be the observer. Do an interview based on what was discussed up to so far. Change the roles so that all three will do the interview. Give constructive feedback to one another.

1.6.4 MAKING A HIRING DECISION

After completing the selection process including evaluation of written materials, interview, work samples (if used), and reference checking, it is now time to review all information gathered about your applicants. It is your task to rate job-related skills and the candidate's fit with your department. Match applicant data with the skills and qualities identified at the beginning of the selection process.

In most cases, the basis for selection decision should be guided by the candidate's predicted skill in doing the job.

If it is impossible to make a selection at this point, you may want to consider scheduling an additional interview or conducting additional reference checks. If you feel none of the applicants are qualified, you may choose to re-recruit. The Employment or HR Manager is available for consultation.

1.6.5 DOCUMENTATION

Once you have selected a top candidate for a classified position, you should notify the Employment or HR Manager.

Supervisors are responsible for maintaining all documentation related to a job search. This documentation helps protect the organisation in cases of complaints or charges of discrimination and also provides the framework for your next search.

Documentation should include items related to the vacancy: position description; recruiting announcement; copy of ads (including where and when they were placed); list of recruitment sources; names of search/interview panel members. Documentation must also include things related to all applicants: applications; resumes; reference letters; supplemental questionnaires and rating forms; interview notes (include the names of note takers); reference check notes; documentation of work samples. In short, document everything you take into consideration when making the hiring decision.

2. INTRODUCTION TO COACHING EMPLOYEES ON-THE-JOB

Training, development and retaining the best employees is a critical business strategy. Moreover, because of the limited distribution of exceptional talent amongst society in general, we are faced with the necessity of achieving extraordinary results from ordinary people. It is not ethical and not legally possible simply to fire people whose job skills are inadequate.

It is also not fair to promote people into higher positions without giving them guidance and assistance. We therefore need an effective and reliable process, comprising specific activities and skills, to involve and develop our staff. It is called coaching.

Coaching is a developmental process. It helps people to “grow” – if it is conducted by means of facilitated discovery and hands-on experience. Delivering an oration about a performance problem is completely ineffective. Telling is not coaching.

May managers have not bothered to master the art of coaching because they are unwilling to "give their power away". They believe that developing knowledge and skills in team members will reduce their own power. However, this is completely wrong, because the development and empowerment of your staff enhances their ability to help you meet your own personal and corporate targets. If you do not have capable and empowered persons in your team,

You remain a prisoner of your word environment, unable to move away, even for short spells, without the anxiety and stress of worrying how things are going back at the office.

To coach effectively today, you need to think of yourself as a steward, not as a supervisor or policeperson. Your responsibility is to manage the assets of your coaches for the benefit of the organisation. This involves moving out of a command and control approach to one of training the coaches to develop the knowledge, skills and attitudes which enhance the functioning of the whole organisation.

3. DEFINITIONS AND DISTINCTIONS:

3.1 Coaching:

"Coaching is eyeball- to eyeball management". – Dennis C. Kinlaw

Coaching is a face –to –face process that helps managers and their staff to talk about situations, recognise and develop people's potential and improve the performance of team members. These activities happen all the time, usually impelled by the need to improve work skills and to encourage an ongoing awareness of the need for continuous improvement. Coaching particular requires the considerable skill of confronting unsatisfactory performance or behaviour because the manager has a responsibility to respond to inadequate or unsatisfactory performance which comes to his attention.

3.1.1. Purpose of coaching

Coaching is "A ***process*** that enables ***learning and development*** to occur and thus performance to improve. To be a successful Coach requires knowledge and understanding of process as well as the variety of styles, skills and techniques that are appropriate to the context in which the coaching takes place" Eric Parsloe, *The Manager as Coach and Mentor* (1999) page 8.

Coaching is not about simply showing people or telling them how to do something. If one only does that there is no guarantee that any learning will take place, coaching is far more that that. Coaching puts the emphasis on helping the learner to learn, rather than on getting the teacher to teach. It involves guiding and encouraging people to achieve results by helping them to learn for themselves while doing the job. Real work is the vehicle for learning. Its ultimate target is to help individuals to release their own potential and improve their performance.

Coaching is about helping the person to learn a new skill or behaviour by doing the job and achieving the desired results.

It provides for:

- Teaching employees the right methods used in the organisation
- Immediate feedback on performance
- Giving confidence to the employee
- Building working relationships
- Identifying deficiency gaps
- Identifying performance problems

3.2 Mentoring:

Mentoring performs a different function. Mentors assist their mentees to understand larger issues such as becoming sensitive to the organisation's culture and developing in the mentee an understanding of the political dynamics within the organisation. It also involves assisting the mentee with networking and career decisions. Mentoring as a developmental art is likely to have been going on long before the Greek classics gave it a name. It is probably one of the oldest forms of development.

3.3 Counselling:

Counselling is a supportive function which assists the employee to deal with a wide range of personal and work-related problems. It is less involved with specific job skills. Counselling has best results if the person is encouraged to distinguish between the apparent problem and the real problem, to be prepared to look at possible cuae4s and to formulate their own course of action.

3.4 Training:

It is a planned and systematic effort to modify or develop knowledge/skill/attitude through learning experience, to achieve effective performance in an activity or range of activities. Its purpose in the work situation, enable an individual to acquire abilities in order that he/she can perform adequately a given task or job.

3.5 Learning:

It is the process whereby individuals acquire knowledge, skills and attitudes through experience, reflection, study or instruction.

3.6 Development:

It is the general enhancement and growth of an individual's skills and abilities through conscious and unconscious learning.

4. BENEFITS OF COACHING

4.1 Benefits for the individual:

- Individual coaches can benefit in a number of ways. In relation to their current positions, coaches may gain greater intrinsic or extrinsic job satisfaction
- Intrinsic job satisfaction may come from performing a task well done and from being able to exercise a new repertoire of skills
- Extrinsic job satisfaction may be derived from extra earnings accrued through improved job performance and the enhancement of career and promotion prospects both within and outside the organisation to which they belong

4.2 Benefits for the organisation:

- Improved employee work performance and productivity
- Shorter learning time which could lead to less costly training and employees being "on line" more quickly
- Decrease in wastage
- Fewer accidents
- Less absenteeism
- Lower labour turnover
- Greater customer or client satisfaction

5. WHAT DOES COACHING ENTAIL?

Nurturing benefits everyone. Who wouldn't be more secure and motivated when his coach believes in him, encourages him, share with him, and trusts him? Employees are more productive when nurtured. Even more important, nurturing creates a strong emotional and professional foundation for workers who have leadership potential. The nurturing process involves more than just encouragement. It also includes modelling. In fact, the coach's major responsibility in the nurturing process is modelling … leadership,

a strong work ethic, responsibility, character, openness, consistency, communication, and belief in people. Here are the things a coach must do to nurture the employee / coachee to reach their full potential.

Build Trust:

Trust is the single most important factor in building personal and professional relationships. Trust must be built day by day. It calls for consistency. Learners will not follow a coach they do not trust. It is the coach's responsibility to actively develop trust in him from the people around him. Trust is built on:

- Time – Take time to listen and give feedback on performance.
- Respect – Give the potential leader respect and he will return it with trust.
- Unconditional positive regard – Show acceptance of the person.
- Sensitivity – Anticipate the feelings and needs of the potential leader.
- Touch – Give encouragement.

Once learners trust their coach as a person, they become able to trust this leadership.

Offer Time:

Employees cannot be nurtured from a distance or by infrequent, short spurts of attention. They need you to spend time with them, planned time, not just a few words on the way to a meeting. We live in a fast-paced, demanding world, and time is a difficult thing to give. It's a coach's most valuable commodity. Peter Drucker wrote, "Nothing else, perhaps distinguishes effective executives as much as their tender loving care of time."

Time is valuable, but time spent with a learner in development is an investment. When you give of yourself, it benefits you, the organisation, and the receiver. Nurturing learners must maintain a giving attitude.

Believe In People:

When you believe in people, you motivate and release their potential. People can sense intuitively when a person really believes in them. Anyone can see people as they are. It takes a good coach to see what they can become, encourage them to grow in that direction, and believe that they will do it. Employees/coaches always grow toward a coach's expectations, not his criticism and examination. You can hire people to work for you, but you must win their hearts by believing in them in order to have them work with you.

Give Encouragement:

Too many coaches expect their people to encourage themselves. Most people require outside encouragement to propel them forward. It is vital to their growth. Coaches need to be encouraged. When they arrive in a new situation, they encounter many changes and undergo many changes themselves. Encouragement helps them reach their potential; it empowers them by giving them energy to continue when they make mistakes.

Use lots of positive reinforcement with your people. Praise a person every time you see improvement. Personalise your encouragement. Remember what motivates one person may leave another cold or even irritated. Find out what works with each of your people and use it.

Exhibit Consistency:

Consistency is a crucial part of nurturing learners. When you are consistent, your people learn to trust you. They will be able to grow and develop because they know what you expect from them. They become secure because they know what your response to them will be, regardless of circumstances. When you believe in the learners, and consistently support and encourage them, it will give them the added strength they need to hang in there and perform well.

Hold Hope High:

Hope is one of the greatest gift's coaches can give to those around them. Its power should never be underestimated. It takes a great coach to give hope to people when they can't find it within themselves. People will continue working, struggling and trying if they have hope. Hope lifts morale. It improves self-image. It re-energises people. It raises their expectations. It is the coach's job to hold hope high, to instil it in the people he leads. Our people will have hope only if we give it to them. Maintaining hope comes from seeing the potential in every situation and staying positive despite circumstances.

Add Significance:

No one wants to spend his time doing work that is unimportant. People want to do work that matters. It is the coach's job to add significance to the lives of the people he leads. One of the ways is to make them a part of something worthwhile. Every coach must ask himself: "Do I want survival, success, or significance?" The best coaches desire significance and expend their time and energy in pursuit of their dreams. Acting on your dreams adds significance to your life. To add significance to the lives of the people you lead is to show them the big picture and let them know how they contribute to it.

Provide Security:

Norman Cousins said: "People are never more insecure than when they become obsessed with their fears at the expense of their dreams." Coaches who focus on their fears don't grow. They become paralysed. Coaches are in a position to provide followers with an environment of security in which they can grow and develop. A coach who feels secure is more likely to take risks, try to excel, break new grounds and succeed. Soon the followers begin to think, act and produce bigger than they are. Finally, they become what they think they are.

Reward Production:

People rise to our level of expectations. They try to give us what we reward. If you want your coaches to produce, then you must reward production. Coaches find their reward not in money, but in the personal recognition of their production. That is what gives significance and leads a person to give his personal best. Even a person who is industrious and hardworking will finally get demoralised if production is discoursed rather than rewarded. We must give positive acknowledgment and encouragement to the producers, and we must be careful not to reward the idle. Take a hard look at your organisation. What are you rewarding?

Establish a Support System

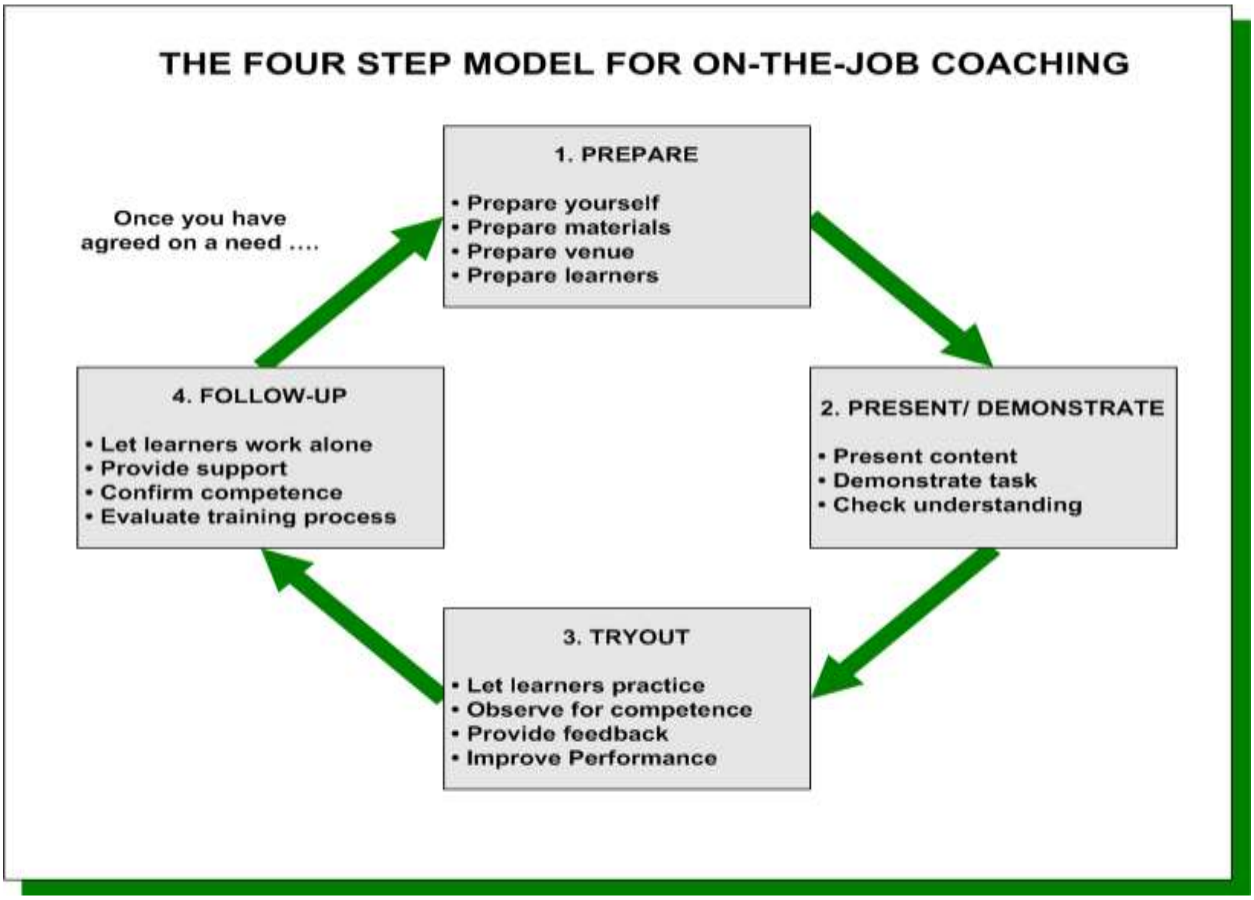
Develop a support system for coaches. Nothing hurts morale more than asking people to do something and not given them resources to accomplish it. Every coach needs support in five areas:

- Emotional support.
- Skills training.
- Money.
- Equipment

- Social (to belong)

Provide the coaches with what is needed to get the job done. Create a support system for all the people around you. Increase it or any individual only as he grows and is successful.

6. ON-THE-JOB COACHING PROCESS



One can modify the four-step method to create either a three-step or a five-step method. Usually, the three-step method combines the Try-out and Follow-Up Steps. Another three-step modification links the Presentation/ Demonstration with the Try-out. The five-step separates Presentation/ Demonstration into two steps.

6.1. Preparation

Preparing to Coach

It is important that you know how adults learn best. There are many different forms of learning challenges that you will need to be aware of and be able to deal with when coaching.

To be able to identify coach's difficulties and needs you must be familiar with the principles of adult learning.

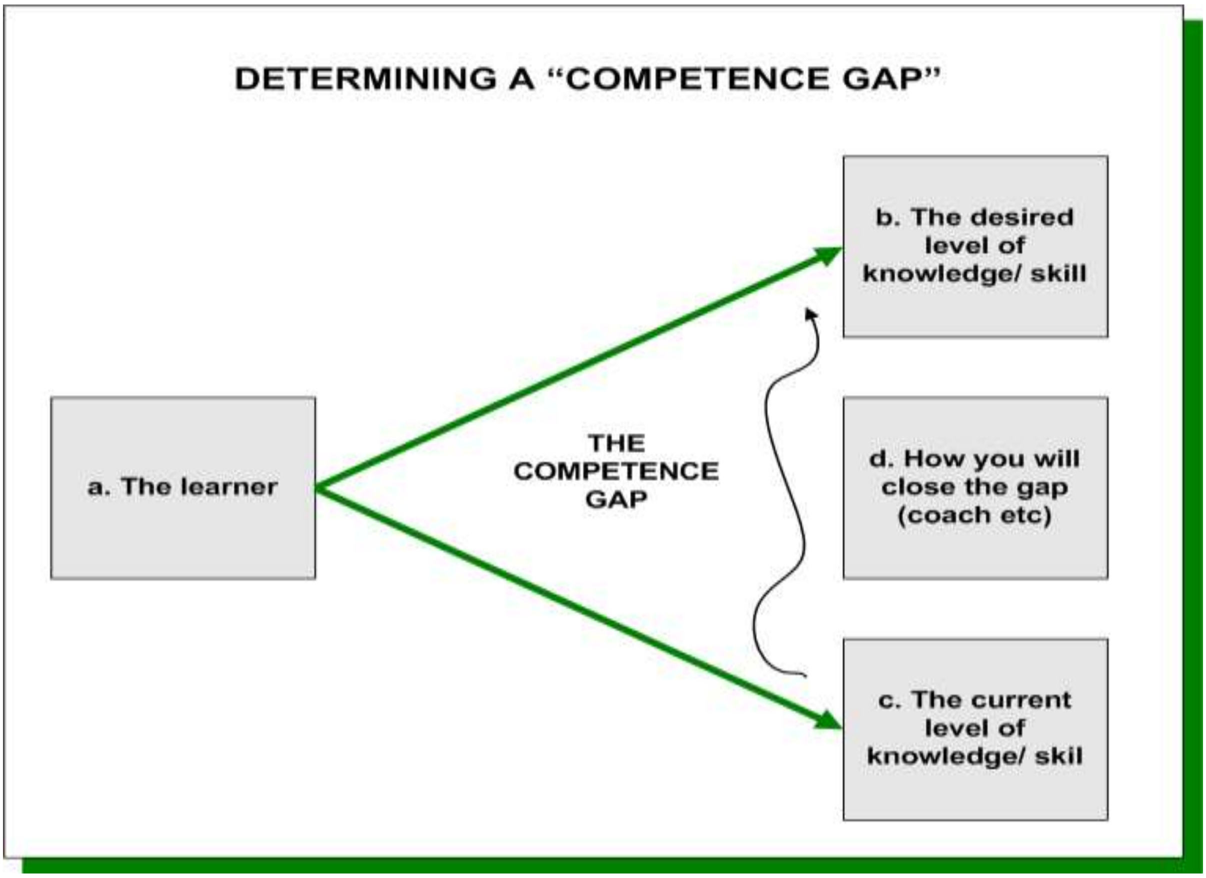
How do adults learn?

- Adults learn for a reason (why)
- Adults learn by putting skills into practice or by transferring knowledge, e.g. teaching it to someone else
- Adults learn when learning is beneficial/ adds value
- Adults learn from their own point of reference or experience
- Adults learn in a logical way, e.g. step-by –step
- Adults learn differently depending on their abilities, experience and background
- Adults want feedback all the time.
- The adult is a partner in the learning process
- Adults are capable of taking responsibility for their own learning
- Adult learners gain through reflection on their own and others' experience
- Adults learn what they perceive to be useful in their life situations
- Adults' attention spans are a function of their interest in the experience
- Adults are most receptive to instruction that is clearly related to problems they face daily
- Adults learn best when they are treated with respect
- Adults learn better in a climate that is informal and personal
- Adults learn when they feel supported in experimenting with new ideas and skills
- Adults are likely to have somewhat fixed points of view that make them closed to new ways of thinking and behaving.

In order to train / coach effectively you need to be sure of the following:

a)	Who do you need to coach?
b)	What is the desired level of knowledge / skill that would mean that the learner has achieved competence? (What do they need to know that they currently don't know?)
c)	What is their current level of knowledge / skill? (What don't they know how to do?)
d)	What is the best way of closing the gap between b and c?

We call this the "competence gap". It can be portrayed as follows:



Building A Coaching Plan

Consider the following questions relating to the competence gap above. It will help you prepare for coaching.

	PREPARATION FOR COACHING CHECKLIST	
1	Who is (are) the learner(s)?	
2	What position(s) do they hold in the organisation?	
3	What skills / knowledge do they need to learn (which they currently lack)? Briefly describe what skills / knowledge they need to acquire? Complete the following: **The learner needs to be able to …**	
4	What is their **current level of knowledge and skill**? I.E. What are they not able to do that you would like them to be able to do? (Describe what they need to learn).	
5	**How well** do they need to be able to do what you have described in section 3? (If there are any **standards** etc. describe them).	
6	Are you sure that you can fix the competency gap by providing on-the-job instruction of coaching? Is there **definitely a lack of knowledge / skills** or are there other reasons for poor performance? In short would the learner be able to do what is required if their life depended on it? (List any other causes of poor performance besides lack of knowledge / skills).	
7	If you are sure that you are dealing with a genuine coaching need, proceed to …	
8	Do you need to provide the learners with any **tools** or other resources to do what you have described under 2 & 3.	
9	Is there any **important information** which you need to present to the learner? Briefly describe what information the learner needs to grasp.	
10	Will the learner need to see the skill **demonstrated** in order to learn it? If so,	

	describe how you would demonstrate the skill. Write down the steps you would follow in the order that you would demonstrate them in:	
11	Will it be enough to provide the learner(s) with on-the-job coaching? Are there any **other learning strategies** that you should be using as well? (e.g. formal training, self study, challenging work assignments, etc.)	
12	If you are satisfied that this is **really an on-the-job coaching need**, then take the information and plan how to address it.	

Preparing the Coaching Materials and Venue

- Ensure that if you are coaching a technical skill, you have the required equipment on which the learner will practice and demonstrate their competence.
- Ensure that there is adequate space and that the venue is clean.
- Set up whatever equipment is needed.
- Provide privacy for the coaching session and ensure that there will no be interruptions by booking the venue early.
- Ensure that the learners are comfortable and not subject to any undue stress.
- The location of coaching venue is of major importance to both the coach and the learner. For learning to take place effectively we need to create a comfortable and appropriate learning environment.

	Planning of Coaching Venue Checklist	
1	The number of participants	
2	The size of the room	
3	The arrangement / outlay of the room	
4	Availability of suitable chairs	
5	The arrangement of tables and chairs	

6	Adequate lighting	
7	Noise	
8	Temperature	
9	Access	
10	Facilities	
11	Identify possible distractions	
12	Acoustic qualities of venue	
13	Sufficient power outlets	
14	Training aids	
15	Spaces	
16	Storage areas	
17	Fire equipment	
18	Safety assembly points	

Preparing the Learners

- Ensure that you have identified a real learning need which the learner would benefit from addressing.
- Ensure that the learner agrees that it is a genuine need.
- Make sure the learner is aware of any relevant standards which relate to the topic.
- Discuss the learning need in order to determine the learner's current level of competence.
- Use observations of the learner's performance to guide your understanding
- Agree on a time and venue for the coaching
- Provide the learner with timeous information about the process and any assessment criteria.

6.2 Presentation / Demonstration

The second step of the Four-Step Coaching Method is ***Presentation / Demonstration***.

During this step you will:

- Present the coaching content
- Demonstrate the task
- Verify that the learners understand the task

Present the Coaching Content

Keep in mind that the key points of your presentation and demonstration are based on the learning objectives of the coaching outline. Begin by telling the learners the learning objectives for the session. If they know where you are leading them, they are likely to follow.

There are several techniques you can follow that will make your presentation more effective.

- **Follow a logical sequence.** Explain the procedure in a step-by-step manner. Begin with the first thing to be done, followed by the second step, and so on.
- **Be clear and concise.** Get to the point and eliminate anything that's necessary. The less you say, the less the learners will have to remember.
- **Explain the reasons "why".** Give an explanation of why it is best to perform the task a certain way. This will keep learners from developing bad habits.
- **Stress key points.** Provide the key points to ensure that the trainee is focused on learning the job.
- **Avoid jargon and buzz words.** Keep your presentation simple and to the point. Too many terms will confuse the trainee.
- **Speak at a moderate speed.** Avoid speaking too slowly – you may offend the trainee. On the other hand, if you speak too quickly, the trainee may not be able to comprehend an idea before you move on to the next one.
- **Make frequent eye contact.** Look at your learners frequently during the presentation. Maintain eye contact for approximately three to five seconds before you look away. The expressions in the learners' eyes will offer clues as to how well they are understanding what you are saying.
- **Be enthusiastic.** Demonstrate your interest in the topic. If the learners appear bored, they may be reflecting back the message you are sending them. Enthusiasm is contagious, and the participants will catch it.

Demonstrate the Task

Researchers estimate that people remember only 20 percent of what they hear but up to 50 percent of what they see and hear. So, it makes sense that you should demonstrate the task.

Here are several techniques that will make your demonstration more effective:

- **Position the employee correctly.** The trainee must be able to see the entire demonstration. If possible, avoid having the trainee directly opposite you, as this creates a mirror image, and the trainee has to sort out what is done with right and left hands. The best position is beside. Depending on the angle and the space available, you may have to step back occasionally or exaggerate your movements while performing the task.
- **Use manageable sections.** Demonstrate the task one step at a time. If possible, have the demonstration follow the sequence of your presentation. Presenting the whole task at one time will cause confusion and will overload the trainee with too much information.
- **Demonstrate first at the expected work speed.** The first time you demonstrate the task, do it at the required speed. This will establish the standards for speed and accuracy. Do not try to impress the trainee by doing the task faster. Explain that you don't expect the trainee to achieve this same speed and accuracy immediately.
- **Demonstrate next at a slower speed.** Although you may have done the job one hundred times, it's the first time for the trainee. A slower speed will enable the trainee to learn the task and grasp the details.
- **Use real materials, props or cut-aways.** Whenever possible, use real materials during the demonstration. If this is not possible, obtain or develop a prop. Request that your company provide samples, props or cut-aways for the coaching. The more realistic the demonstration, the easier it is for the trainee to complete the tryout step.

Check That Learners Understand the Task

Even if you present and demonstrate a task the same way every time you train, it is unlikely that all learners will respond in the same manner. Some will learn quicker than others, some will have more questions, and some,

In spite of your best efforts, may never quite understand the task. Always verify the trainee understands of the task before you move to the tryout step in the coaching process.

There are three ways you can test a trainee's understanding:

Ask for questions.

At points throughout the coaching, ask learners, “What questions do you have?” With this request, you are indicating that questions are part of the coaching process. Learners are more likely to ask their own questions once they realise it is expected. Your request may be answered with a “No”, if you ask, “Do you have any questions?” Learners may not want to admit they have questions, because they’re afraid it will indicate they are incapable of comprehending the task. It also could mean they are confused. You also can “prime” them by saying, “One of the questions I’m often asked is …..”, then answering the question yourself.

Have learners repeat instructions.

Focus on relevant points that must be followed to perform the task properly. Don’t ask them to repeat the entire process. Tell them that you are asking them to repeat instructions because you are concerned about how well you communicated the message. You could say, “Just to be sure I was clear, tell me how you should ….”. This approach keeps the learners from feeling threatened and allows them to respond with brief answers.

If the learners repeat the instructions correctly, respond, “Good. I’m glad my instructions were clear.” If they have difficulty, correct them in a constructive manner: “I may have forgotten to mention that …” As the coaching, you have to assume responsibility for the accuracy of the communication.

Test verbally for understanding.

Keep the questions short and to the point. Your goal is to verify understanding while reinforcing what the learners are learning. Usually, you’ll need only two or three questions to determine what the learners have learned. This allows the learners to develop the confidence that they are making progress and that they are learning the task.

Try to avoid questions that can be answered with a simple “Yes” or “No”, as these answers give very little insight into what the learners have learned.

Ask open-ended questions that begin with words such as what, why, how, when or where. For example, “Where would you store the oily rags after cleaning the equipment?”

6.3 Tryout

The third step of the Four-Step Coaching Method is ***Tryout***. During this step, you will:

- Implement the learners' practice.
- Observe the learners' practice.
- Provide feedback to the learners.
- Help the learners gain speed and develop accuracy.

Experienced coaches take different approaches to the tryout step. Some keep it separate from the follow-up, while others prefer to have learners perform them at the same time. Coaches also have combined the tryout with the presentation and demonstration. You should decide which method will work best for you. That decision may be determined by the task being trained.

Inexperienced coaches often stop the coaching process after they've completed the presentation and demonstration. They assume that because they have "trained", surely the learners have "learned". Unfortunately, that's not always the case. During practice, the coach will determine what learners have learned, identify any problem areas, and help them increase their skills.

Never leave learners to their own devices during the tryout. Remain alert and involved in the continuing learning process.

Implement the Learner's Practice

A tryout should follow the presentation and demonstration as soon as it is practical. The less time that passes between the presentation / demonstration step and practice, the easier it will be for the learners to perform the task correctly. The learners also will require less review.

<u>To make the practice time beneficial:</u>

Have the learners explained the task?

Their explanation will help you determine whether they understand what you've taught. If every learner makes the same mistake, you'll want to assess the points at which the presentation and demonstration were not clear.

Verbalising the task while they are performing it also reinforces the learners' understanding. In a sense, they are "programming" their minds to recall the correct procedures. If their explanations are incomplete, correct them, so they aren't "programmed" the wrong way.

Ask the learners to repeat the practice to create habits.

It has been said that "practice makes perfect". Well, it does, provided it is a perfect practice. Some learners are able to practice the task correctly the first time, while others will have difficulty. Multiple practices are important because they create habits.

The number of times a task needs to be practiced will vary from learner to learner. The coach can move on to another task after the leaner consecutively performs the task correctly two or three times.

Observe the Learners' Practice

Watch the learners as they practice and note any areas which need to be clarified or corrected. The goal of practice is to give the learners the opportunity to practice the task in a controlled environment while someone is available to help.

<u>There are three ways to make the observation process easier:</u>

Assess how you observe.

As you watch the learners practice:

- **Explain why you are observing.** Tell the learners you are checking that the presentation and demonstration were sufficient for them to perform the task.
- **Look at individual steps.** Watch the steps in the process to determine which ones are correct and which need to be improved.
- **Review the task more than once.** Have the learners perform the task two or three times to verify that they have the techniques and the knowledge required to work independently.
- **Evaluate the end result.** Does the product or performance meet the standard? What areas of the process created problems for the end result?

Recognise your influence on the learners.

Learners often are nervous just because they are learning something new. With a coach watching, they can feel pressured during practice. Learners need to be assured that the coach is not being critical of their mistakes. You can say, "If someone were watching me, it would make me nervous. Don't worry about making a mistake."

Give the learners breathing room.

If you are working with small groups and you have some learners who are learning quicker than others, have those who learn the task first assist the others who still need help. This approach allows learners to work with their peers, who are less intimidating than a coach. Allowing learners to work with less direct observation from the coach also can build their confidence because they will feel that you are beginning to trust their abilities.

Provide Feedback to Learners

Everyone wants feedback about how they perform. Learners need even more because they are learning something new. Giving feedback to learners during the tryout is very important. If you don't give this feedback, the learners will assume they are right. Don't let them make assumptions, especially if they're wrong. Offer lots of feedback in the beginning, then taper off gradually. It's better to err on the side of giving too much feedback than not giving enough.

When you give feedback to employees, be sure that your feedback is:

- **Specific** – Tell the trainee exactly what you saw. Avoid vague and general statements.
- **Immediate** – Give feedback as soon as you see the learners perform the task correctly or incorrectly. Don't wait for them to do it again.
- **Earned** – Avoid feedback that isn't deserved just to make the learners feel good. Dishonest feedback is worse than no feedback at all.
- **Individualised** – Give feedback to each person, not just to the group as a whole. Using the learners' names also individualises it.
- **Positive** – Remember that feedback always should be positive, even when telling learners they are practicing the task incorrectly.

Here are some ways to offer positive feedback:

- **Recognise successes.** Acknowledging successes provides reinforcement and lets employees know you are encouraged by what they are learning.
- **Correct mistakes in a supportive manner.** Most learners will make errors in the beginning. If they knew how to perform the task, they wouldn't need the coaching! Sometimes learners become so concerned about their errors that they make the same mistake over and over.

Correct mistakes in a supportive manner by focusing on the task being performed, not on the person performing it.

Step-in When Necessary

There may be times during the tryout when you will have to step in and help the learners. For example:

- They are making an error that would cause a major problem with equipment.
- They are performing the procedure incorrectly, and it will affect what they do next.
- They are in danger of causing physical harm to themselves or others around them.

Mistakes that are not harmful may teach the learners an important lesson. Just be certain that the lesson is not detrimental to the person or the process.

Help Learners Gain Speed and Develop Accuracy

The first-time learners see you demonstrate a task at full speed; it may be a blur to them. You make it look easy because you've done it before. Learners are likely to be apprehensive about their ability to learn the task quickly. So, put your efforts into helping them gain speed and develop accuracy. To do this you should:

- **Practice at a slow speed.** Allow learners to work at their own pace at first. Have them increase their speed gradually until they can meet the time requirements for the job.
- **Focus on techniques.** When learners learn the proper techniques, they will develop speed as they continue to practice. It will be impossible for them to develop speed and gain accuracy until they sharpen the little things that are a part of the bigger job.
- **Provide tips from experienced employees.** Nearly every experienced employee has "tricks of the trade". Unless this is a new task that no one in the company has performed, share these tips with the learners at the appropriate time in the coaching process. Some tips, if given too early, may confuse the learners. Others, if given too late, will not be beneficial.
- **Establish time goals.** Learners will develop speed sooner if they are given a deadline. Work with them to establish time goals for gaining speed and developing accuracy. Tell them when they should begin increasing their speed and monitor their progress on a regular basis. Provide positive feedback as they come closer to reaching the goal.

6.4 Follow-Up

The fourth step of the Four-Step Coaching Method is ***Follow-Up***. During this step you will:

- o Have the learners work alone?
- o Designate "helpers" for the learners.
- o Reconfirm that the learners understand the task.
- o Evaluate the coaching procedures.

Follow-up may occur in conjunction with the tryout. In many cases, though, the learners will work alone, without observation, after the tryout has been completed, and the trainee will conduct the follow-up later. When follow-up occurs later, it should be a two-way process in which the learners contract the coach for help, as needed, and the coach checks to see how they are doing.

As another component of the follow-up, the coach should measure the effectiveness of the coaching procedures to determine whether any changes are needed in the content before the next on-the-job coaching session is conducted. This includes a self-evaluation and requesting evaluations from learners.

Have Learners Work Alone

One of the best ways to build confidence in learners is to tell them that you believe they are capable of working alone. Before you turn them loose, however, it's a good idea to review the tasks with them once again. Have them explain the key points and show you the correct way to perform the tasks. This also is a good opportunity to provide additional positive feedback, encourage them to continue to do the job right, and remind them about avoiding bad habits.

Don't back away completely from your learners. The whole idea of follow-up is checking back after the learners have been working alone for a while to see how they are doing. Check often at first, as this is the time when questions and problems will likely occur.

The follow-up covers many of the same activities as the tryout. When you check back, make it a point to observe employees performing the task and look for errors. Be prepared to provide feedback during the observation. Recognise successes when employees perform correctly. But don't ignore mistakes. If you find problems, correct mistakes in a supportive manner. Step in, when necessary, and provide assistance or re-coaching.

Gradually reduce the frequency of your contacts with them. There are no hard-and-fast guidelines for when the process should be stopped. Each trainee is different. Some may require only one or two follow-up sessions, while others may need several sessions.

Designate "Helpers" For Learners

Before ending the follow-up, find "helpers" for the learners. The learners need someone who will be available to answer questions or solve problems. You may designate yourself, or you may decide to find another person.

Benefits of Designating Yourself

- In most cases, you are the best person for the learners to contact, since you have established a relationship with them.
- You know their strengths and weaknesses.
- You may take a more personal interest in the learners.
- You are a "neutral" person who will provide answers to their training-related problems, assuming that you are not the learners' supervisor.
- You understand the task that the learners are trying to incorporate into their jobs and will be able to provide them with solutions.

Benefits of Designating Others

- There are situations when another person would be a better helper.
- You may not be available to help the learners because you are coaching other employees or have demands on your time.
- Learners may be reluctant to admit to you that they are experiencing problems.
- Learners may prefer to go to their supervisor or another person in their work area.

What to Consider When Delegating Others

If you decide to ask other people to assist the learners as on-the-job helpers, be sure of the following:

- They have a good relationship with the person, especially if the helper is a supervisor. Learners may be intimidated by some people in authority.

- They have the time and patience to work with learners who are still learning a task and may make mistakes.
- They have a thorough understanding of the tasks and are able to answer questions.
- They have good people skills and can interact with the learners without creating problems or having personality clashes.

When you designate helpers, give them direction in how to offer follow-up to the learners. Provide them with a checklist of the areas to watch when working with the learners. This may be a general checklist to which you add comments about each learner. Establish a procedure for what the helpers are expected to do after working with the learners. Do they tell you what they did? Do they tell the learners' supervisor? Does the interaction remain confidential between the trainee and the designated person?

Reconfirm That Learners Understand the Task

The follow-up is the final opportunity to ensure that the learners understand exactly what they have to do and why. Depending on when the follow-up occurs and the nature of the task, you may not be able to see the trainee perform every part of the job.

The process used during the follow-up step is essentially the same as the one used during presentation / demonstration.

Since you are not in the presentation / demonstration mode, you'll need to take a slightly different approach during follow-up than what is outlined in the method. As you are observing, ask, "Why is that a good way to do the job?" or "How were you trained to do that part of the task?" If they do not understand, review only the specific areas that you know are crucial to accomplishing the task correctly. Do not review the entire coaching programme.

Avoid playing "Twenty Questions" with the learners. You do not want to grill them; you are there to help. Your questions should ensure that the learners understand the key concepts and give them confidence in their new skills. Your ability to accurately evaluate their understanding of the tasks will enable you to make the decision about when follow-up should be complete.

Advise coachee on Assessment Procedure.

Outcomes based education calls for a learner to be assessed against clearly defined assessment criteria and specific outcomes. In occupationally – directed learning for example, outcomes are specified in unit standards. Unit standards, qualifications and assessment systems are designed to meet industry needs

Assessment Plan

A plan is a scheme that helps you think of what you need to work out in sequence to meet certain objectives. A plan will include:

- What has to be done?
- Why something has to be done and for whose benefit?
- Who is to do what part of the work?
- How it will be done?
- What evidence you will be looking for?
- How long it will take?
- Where it will be done

An action plan must be drawn up showing a list of events prioritised with target dates for completion of task. Key Categories would be:

- By when must outcomes be achieved
- When must activities be completed
- Collecting of required evidence (deadline)
- Number of documents
- Targets/deadlines

The plan should reflect the specific outcomes, the strategy and process that will be followed to collect evidence and the type of evidence to be collected. The assessment plan therefore serves as an action plan.

Evaluate Coaching Procedures

Once the follow-up with the learners has been completed, begin an evaluation of your coaching efforts. A thorough evaluation of your coaching procedures will uncover problems with any of the four steps of the process.

Try to involve your learners in the evaluation, as they may have insights on areas you have not considered. Provide learners with a questionnaire that can be completed easily and returned to you. The questionnaire should be anonymous, so learners will feel free to express their opinions. If most of your coaching is one-on-one, you may want to wait until you have trained several people before sending out a questionnaire, so each trainee does not respond alone. Include questions that address each of the four steps of the coaching process.

In addition to asking for opinions on the questionnaire, you can include a few "test" questions. When you review the responses, keep track of questions that frequently receive wrong answers. Several wrong answers for the same question could indicate that either the question is faulty, or information was not communicated clearly during the coaching. Don't get hung up on unusually high or low ratings by one or two learners. Focus on the trends to get a true assessment of the coaching.

If you use a follow-up checklist for the learners, you will have a record of the areas that cause problems frequently. Once again, look for trends. Consider the following:

- Are many learners making the same mistakes?
- Are there certain problem areas?
- What things are learners doing well?
- Are learners getting support from their helpers?

The answers to these questions will offer insight into the success of your coaching efforts.

Evaluating Your Performance

After assessing the evaluations, make an objective evaluation of your performance as a coach. This may be hard to do, but it is important. Ask these questions.

- Did I prepare the coaching content properly?
- Did I have the materials needed for the coaching?
- Did I ensure that the coaching environment was conducive to learning?
- Was I open to questions from the learners during each step?
- Was my presentation / demonstration effective?
- Did I take enough time to verify that the learners understood the tasks?
- Did I have the learners practice the tasks during a tryout?
- Did I have a follow-up after the coaching session?

- Do the learners feel confident about performing the tasks?

Answers to these questions will indicate whether you need to make changes in your coaching before the next session. Compare your answers to the learners' evaluations. Are your answers similar to those of the learners? If not, which questions differ?

Filling out questionnaires takes valuable time away from the learners' regular duties. Don't request an evaluation from the learners unless you are prepared to do something with the results.

The action plan could include:

- Training
- Coaching
- Counselling
- Studying
- Self-study
- Reading
- Mentoring
- Observing
- Practice

7. SETTING UP A RECORDING SYSTEM

7.1 Introduction

The creation and maintenance of records relating to the coaches of an institution are essential to:

- Managing the relationship between the organisation and the coaches
- Providing support and other services and facilities to the coaches
- Controlling the coaches academic progress and measuring their achievement at the organisation

7.2 The purpose of reports:

Coaches need to obtain record and organise administrative information and fulfil the administrative requirements needed to manage on the job training of the coaches in their organisation.

Administrative work is concerned with organisational maintenance. It is the routine paper work that keeps the system going. It is also a record of transactions and events for the organisation.

The most likely administrative tasks include the following:

- Coaches personal details sheet
- Coaches contracts
- Attendance registers
- Individual development plan
- Coaching schedule
- Job profile / performance outcomes
- Coaches feedback on coaching
- Coaches progress records
- Management reports
- Copy of ID
- Coaches assessment documents
- Copy of certificates
- Copy of resume

These schedules and records should be kept simple and user friendly. It is not necessary to have complicated forms. It is however, necessary to make sure that all your forms are filled in neatly and correctly and with all the relevant information. This will allow you to refer to information you might need quickly, as well as allow other people, who may need the information, to find it easily.

Do not leave paperwork piled up, it must be kept up to date and it must be accurate. Incorrect information is worse than no information.

You should have a file for each coach in your organisation.

This file contains all information relevant to the person's learning experience and you must therefore accurately record all information regarding needs, problems and the action taken.

Do not leave these records lying around as it is your duty and responsibility to maintain confidentiality at all times.

7.3 <u>Types of records:</u>

Records are documents or other items which:

- Contain recorded information;
- Are produced or received in the initiation, conduct or completion of an activity;
- Are retained as evidence of that activity, or because they have other informational value.

The recorded information may be in any form (e.g. text, image, sound) and the records may be in any medium or format.

Coach's records – records associated with managing the relationship between an organisation and its coaches/learners – can be organized into three broad categories, each of which may be additionally divided:

- Records documenting the contractual relationship between the coaches/learner and the organisation
- Records documenting the coaches as a learner e.g. records documenting programmes undertaken, academic progress and performance, awards – usually stored by coach.
- Records documenting the coaches as an individual and consumer of services provided by the organisation e.g. records documenting use of accommodation services, counselling services, library and IT support service, careers and employment services – usually stored by the HR.

Contract for coaches/learner

It is important to make sure that the coaches – in this instance the new first line manager - understands what is expected of him/her during the course of the learning programme. The contract outlines the terms and conditions of the coaches/learner being accepted onto the programme and the obligations of the learner throughout the duration of the programme.

Example of contract:

COACHEE CONTRACT DOCUMENT

I, ____ the undersigned, ID ____, hereby declare the following:

- ➢ The training policy of our organisation has been read to me and I understand the contents.
- ➢ I am aware of the evaluation methods and standards within our organisation.

➢ I am aware of the fact that should I be found guilty of any form of dishonesty, I will be penalized and could forfeit the position of first line manager. ➢ I still have to adhere to all policies and procedures of our organisation. ➢ I may ask for assistance and information from the coach when and where needed.
Signature of coaches: ______________________________ Date: ___________________   Signature of coach: ________________________________ Date: ___________________

Attendance register

The coach records coaches' names, surnames, dates of coaching and classes and attendance at each session.

The attendance register allows the coach to detect absenteeism problems, which can then be addressed. Irregular attendance is disruptive to the learning process and cannot be allowed to continue. This information is also important to management and funders.

Examples of attendance register:

ATTENDANCE REGISTER

NAME OF ORGANISATION	
NAME OF COACHEE	
VENUE	
COURSE/TRAINING SESSION NAME	
ID OF COACHEE	

DATE	**TIME STARTED**	**SIGNATURE**	**TIME ENDED**	**SIGNATURE**	**TASK DESCRIPTION**

Signature of coach: ___________________________________ Date: _____________________					

Personal details of the learner/coaches

There must be recording of each individual that is on a coaching process to keep track of who is on the programme and who is coaching whom in the organisation.

Example: **COACHEE/LEARNER PERSONAL DETAILS**

Surname	
First name	
Cell number	
Postal address	
E mail address	
Training courses attended the last three years	
Languages: ❖ **Speak**	

❖ **Read** ❖ **Write**	

COACH DETAILS

Surname	
First name	
Contact number	

Management Reports

The coach will normally submit a report to management on a monthly basis.

Management reports used to keep your management team informed about your activities as a coach and the activities and progress of the coaches.

Reports keep the management team up to date. They need to know:

- What you are doing
- How you are doing
- What the problem areas are

Management also need to be informed of the coach's reaction to the process or areas that may be deemed problematic.

Most importantly, managers need to know whether or not the coaches and coaches are reaching the targets set and expectations laid down at the start.

Coaches/Learner progress records

The coach is responsible for keeping records of the coaches/learner's progress.

Coaches/learner progress records consist of all test results and evaluations.

Coaches/learner progress records are essential. They are a means of tracking how each coaches/learner is doing and are an effective way of identifying any problems the coaches/learner may have so that they can be dealt with promptly

Coaches/learner records also provide important information to management and funders. They make the task of report writing much easier for the coach.

Without coaches/learner records there is no way of proving what the coaches/learner has achieved during the learning programme.

Example:

LEARNER PROGRESS REPORT

<table>
<tr><td>Name</td><td colspan="2"></td><td colspan="2">Assessor</td><td></td></tr>
<tr><td>Period of feedback</td><td colspan="2"></td><td colspan="2">Topics/Learning Units assessed</td><td></td></tr>
<tr><td colspan="6">Evidence evaluation</td></tr>
<tr><td>Workplace experience</td><td>Competent</td><td>Not yet competent</td><td colspan="2">Comments by assessor or coach on areas not yet competent</td><td>Action plan for areas not yet competent</td></tr>
<tr><td>Training Learning Units/topics</td><td></td><td></td><td colspan="2"></td><td></td></tr>
<tr><td>On the job outcomes</td><td></td><td></td><td colspan="2"></td><td></td></tr>
<tr><td>Assessment outcomes</td><td></td><td></td><td colspan="2"></td><td></td></tr>
<tr><td colspan="6">o Formal training refers to structured, outcome-based training received and assessed
o Formal coaching refers to coaching according to specified specific outcomes</td></tr>
</table>

- **Assessment refers to formative and summative assessments conducted**

Individual Development plan

After your discussion with the coaches on his/her progress/ the two of you will have to decide what actions you have to take to address any not yet competent areas. This example may assist you:

Individual development plan

Coaches name and surname	
Employee number	
ID number of employee	
Highest qualification obtained	
Training courses attended	
Workplace experience	
Career expectations	

Area of development	**Development action to be taken**	**Start date**	**Completion date**	**Support required by:**
E.g. Interpersonal skills	Source a course of adapting behaviour (behavioural styles)	20 May 2010	30 June 2010	Budget approval from manager Assistance from training department to source course

Signature of Coach: ______________________________ Date: ____________________

Signature of coaches: ____________________________

Date: ____________________

Coaching Schedule

A planning schedule assists you in organising the coaching programme

A well organised coaching programme that is structured to meet your targets and the coaches/learner's needs is a vital component of any education and training experience. Without proper planning chaos is the order of the day.

Example of coaching schedule:

WEEK 1	**MONDAY**	**TUESDAY**	**WEDNESDAY**	**THURSDAY**	**FRIDAY**	**CORRECTIVE ACTIONS**
WORK						
TRAINING						
COACHING						
ASSESSMENT						
WEEK 2	**MONDAY**	**TUESDAY**	**WEDNESDAY**	**THURSDAY**	**FRIDAY**	
WORK						
TRAINING						

COACHING						
ASSESSMENT						
WEEK 3	**MONDAY**	**TUESDAY**	**WEDNESDAY**	**THURSDAY**	**FRIDAY**	
WORK						
TRAINING						
COACHING						
ASSESSMENT						
WEEK 1	**MONDAY**	**TUESDAY**	**WEDNESDAY**	**THURSDAY**	**FRIDAY**	
WORK						
TRAINING						
COACHING						
ASSESSMENT						

COACHES FEEDBACK FORM

Feedback on the coaching and the learning event is sought from the coaches in the form of open-ended questions.

Actual outcomes of the event are compared to planned outcomes.

Plausible reasons are given for relative success or failure of units. Feedback from coaches and their own reflection is formulated into resolutions and future events.

Example: **FEEDBACK FROM THE COACHEE**

QUESTIONS	**YES**	**NO**
Was the purpose of the coaching explained to you?		
Were the learning outcomes clearly explained?		
Does the coach know the subject matter?		
Does the coach give enough guidance and encouragement?		
Does the coach provide clear examples?		
Was the coach readily available and approachable?		
Was the sequence of activities explained to you?		
Did the coach motive you for this new job as first line manager?		
Did the coach made you feel secure in this new job?		
Did you receive a coaching schedule?		
Did the coach explain the reasons for any assessments conducted?		
Did he/she explain to you what you would be assessed on?		
Did he/she give you feedback on your performance?		
Do you feel more confident in the new job after the coaching process?		
Any other comments:		

Coacher name:	
Signature of coacher:	
Date:	

7.4 **Filing of records:**

The nature of the coach's records and the personal information they contain demands that they should be stored in facilities and equipment ('hard copy' records) or electronic systems (digital records) which are, above all, secure and accessible only to authorised staff whose work requires them to have access. In addition, the facilities and equipment should provide:

- Adequate space for all the records which need to be produced and retained
- Appropriated environmental conditions for the record media used.

Storage facilities and systems should meet the same standards irrespective of where they are located and who is responsible for managing them.

The basis of a time efficient approach to maintaining records is a good filing system. Make sure that all your paperwork is correctly filed at the end of each day.

A little time spent recording and storing information correctly will save you hours of searching.

Make sure that all your records are filed correctly and systematically, usually in alphabetic or numeric order. A cardex file for information could also be used.

Not only will this allow you to refer to information you might need quickly, it will also allow other people who may need the information to find.

Authorised staff should maintain a record of:

- The content, format and location of all student records;
- The names and designations of all staff with access to coaches' records, and any limitations on that access;
- Coaches records which have been transferred to another part of the organisation, particularly after the coaching process is completed.

7.5 **Confidentiality:**

Learning Recorded Information will only be permitted for non-commercial educational use, including:

- Academic research, including publication in books, articles, conference presentations, and technical papers.
- Professional development of teachers

- Development, evaluation, and improvement of programs
- Informing public educational policy

Who should have access to coach's records?

Institutions should tightly control access to coacher records to prevent unauthorised use, alteration, removal or destruction of the records themselves and unauthorised disclosure of the information they contain. Only those members of staff who need them to do their work should have access to these records and, their address should be restricted to records of the direct relationship and not to the content of the whole file.

The coach has access to all information in the Learning Record.

Assessors and moderators have access to all information in archived Learning Records that relate to the coacher/learners progress and outcomes, including assessments and portfolios of evidence.

Administrators from Human Resources may have access to all information in archived Learning Records. We expect that administrators will use the archives to develop, evaluate, and improve programs and for purposes of personnel management is required.

8. MONITOR AND REVIEW/FEEDBACK

Monitoring and review is primarily a means of reinforcing the knowledge that contributions are recognized and valued. It is not an isolated event, but rather an ongoing process that takes place continuously. As indicated, assignments and projects are monitored continually. Monitoring means consistently measuring performance and providing ongoing feedback to coaches or learners on their progress toward reaching their goals.

Ongoing monitoring provides the coach the opportunity to check how well coaches/learners are meeting predetermined standards and to make changes to unrealistic or problematic standards. By monitoring continually, coaches can identify unacceptable performance at any time during the appraisal period and provide assistance to address such performance rather than wait until the end of the period when summary rating levels are assigned.

Ways through which performance can be observed include:

- Direct observation and feedback;
- Specific work results (tangible, observable evidence that can be reviewed in the staff member's absence);
- Records and reports (attendance, safety, inventory, financial records, publications);
- Constructive and / or critical comments made by others.

8.1 <u>Step 1 – Monitor and review performance against requirements:</u>

It is important that the atmosphere in performance review meeting is positive and that both parties treat each other as equals. Make the other party feel at ease.

Remember that learners are entering the meeting with feelings of uneasiness, fear, trepidation and even hostility.

The coach's role in this meeting is to ensure that the organisation's performance requirements will be achieved through the action of the coaches/learners they manage.

The formal performance review has three purposes:

- To review the performance of the coaches/learners
- To review the performance of the coach in supporting the staff member (upward feedback).
- To evaluate the progress on a learning and development plan for the coaches/learners

<u>Before the review:</u>

- Decide what rating you think should be awarded to the coacher/learner and write down evidence to support this view. Make sure this rating can be justified in terms of the ratings you have given in the previous formal reviews (no surprise principle).
- Think about how well you have performed in supporting the work of your coaches/learners. Write down some specific examples of strong support and ideas about how to improve performance.
- Think about the job performance of the coaches/learners over the past six months / year. What does this tell you about the things he/she is good at and the things he/she is not so good at? Does it point to any areas in which he/she needs development?
- Consider the coaches'/learner's performances results and think about additional skills he/she might need to successfully achieve these. Write them down and suggest them at the review meeting.

During the review:

- The coaches/learners may be very anxious about this meeting, so do not do anything to aggravate the situation (being flippant, too intense, late for the meeting and so on).
- To break the ice and get the learner at ease you could offer him/her something to drink, ask about hi/her personal life (family, hobbies, etc.), or ask him/her how he/she is doing lately.
- Begin the review by setting the context – provide an overview of the department and organisation's overall performance.
- Start the formal review by focussing on the performance objectives.
- Ask the coach/learner to explain what rating they think they deserve for each objective respectively and let them give reasons for this rating. Support them where you feel they are right and give examples of your own.
- If you think they have rated themselves too high or too low, tell them to provide specific examples and give them plenty of opportunity to question your judgement and provide their own supporting evidence.
- Receiving feedback can be threatening to people. Do not become aggressive of defensive at the meeting. If this happens call "time out".
- Stick to the facts. Do not let personality differences get in the way of a productive meeting.
- Carefully discuss gaps in performance and follow the facilitative approach (see below) to coach the learner on improving performance.
- If there is a disagreement that you cannot resolve easily, follow the process established for reaching agreement.
- If you still cannot reach agreement, you may need to resort to the formal dispute resolution process.

After the review:

As far possible, you and the coach/learner need to reach agreement of feedback given and received. Both parties need to accept the current reality and the underlying reasons for that reality, before one can move forward by developing an action plan.

Summarise the main points of feedback. Then develop an action plan to address all of these points. Some actions might have to be taken by the coach and some by the coacher/learner. An action plan is specifically aimed at bringing performance to an acceptable level of standard.

8.2 Step 2 – Provide feedback:

DEFINITION: Feedback is the process according to which you receive information from the external environment on both the positive and negative aspects of your performance. Feedback provides an answer to the question "How am I doing?"

Another important aspect of performance and development management is the aspect of giving and receiving feedback. Feedback answers the question: 'How am I doing?'

Once people agree to achieve certain goals and objectives, they need to know how well they are doing.

Constructive feedback on performance and development is important because it encourages and motivates employees to perform at acceptable standards. It also helps correct mistakes and solves problems; it builds relationships between people, saves money and provides direction. People participating in a performance management process, both coaches and learners and staff members, need to know how to provide constructive feedback as well as how to receive feedback in such a manner that it will have a positive effect on performance. Open and direct criticism provides the opportunity to clear misunderstandings and correct wrong perceptions and behaviour.

Key actions that need to be performed are:

- Be honest but maintain the person's self-esteem by providing balanced feedback. Begin and end with a positive statement. People are more receptive to corrective feedback when it is mixed with positive comments.

- Be specific about what was said or done, and state why it was effective or ineffective. Give examples of how the situation could have been handled more effectively.

- Offer alternatives. If you are giving feedback for improvement, tell the person what he or she could have said or done differently; your perspective will be helpful. Your feedback has more value and credibility when you show that you have thought of other ways to deal with the situation.

NOTE: Because coaches/learners monitor their own performance in this process, they receive much of their feedback directly, using monitoring methods established during the planning phase. As a result, they can take action whenever necessary to stay on target towards these objectives

In addition to data obtained from own monitoring sources, coaches or learners also depend on coaches for information. When they perform effectively or need to improve, you need to tell them and provide specific feedback on what they did well and what they did not do so well. Your feedback is important. It helps determine whether individuals meet objectives. For best results, your feedback should be timely, balanced, and specific.

Timely Feedback

Provide feedback as soon as possible after the incident occurs. Feedback today on something that happened this morning means much more than feedback tomorrow or the following week. The incident is still fresh in the person's mind, so feedback will be more meaningful.

Balanced Feedback

Mix positive and constructive comments throughout the discussion where possible. Too much negative feedback might make people defensive and unwilling to communicate. If you recognise all the good performance in the beginning and leave the corrective feedback for the end, a person might feel 'set up'. Disappointment and resentment might then replace any feeling of satisfaction. After giving corrective feedback, end the discussion with a plan for improving performance. Work closely with the staff member on the plan. The more the individual contributes to it, the more committed she will be to carry it out

Specific Feedback

A vague comment, like "You could have done a better job on that report", does not identify the problem. It does not indicate what was wrong and how to improve. It is not the type of feedback that will help someone achieve his or her objectives. Along the same lines, general praise like "You have done a good job on that report", also does not specify what the individual did well and should continue doing. Specific feedback explains what the individual did and why it as effective or ineffective.

GUIDELINES WHEN GIVING FEEDBACK ON THE PERFORMANCE OF THE COACHEE

Step 1: Get to the point

- The purpose for this meeting is..
- I asked you here to discuss..
- I want to spend some time discussing how you...

Step 2: State why you are having this conversation

- I have a concern about...
- A problem has occurred in..

Step 3: Describe what you know

- I saw...
- A problem has occurred in...

Step 4: Describe the consequences of the continued behaviour

- If this continues then...
- In looking at this situation as a customer would, it appears...

Step 5: Describe how you feel about what you know

- I am very concerned about...
- I do not think it is right that...

Step 6: Encourage the other party to give their side of the story

- That is what I know but what is your view..
- Is that the way you saw it..
- OK, what is your reaction?

Step 7: Ask as many questions as you need to understand the situation form the Other person's perspective

- Well, how do you know that?
- And then what happened?
- If you did that, then why did?

Facilitative Process to Coach Learners on Improving Performance

Issues which indicate that there is a need for coaching include:

- Missed deadlines
- Confusion about what is required
- Poor quality work (not as required or specified)
- Complaints from others
- Your own observation of the person
- Your own observation of the product, document or process
- Repetition (i.e. not the first time) of something unacceptable
- The wrong thing is happening

Describe clearly and unambiguously your perception of what was happening when you saw or heard it. Remember, however, that you might be wrong.

In describing the problem – what might you say?

Ask facilitative questions

Open-ended questions invite the opportunity to look at things differently, without implying blame or wrongdoing. Your responsibilities are to open windows for the employee to be able to see new possibilities.

Listen

Coaching requires you to talk less and to listen more. "Man has two ears and one mouth". Therefore, he should listen twice as much as he talks. Your role is to facilitate the thinking of your staff, not to think for them!

Listen for information, not to argue. Would you be willing to hear that the problem is yourself? Would you be willing to consider that your own endeavours and good intentions as you have been seeing them, are not working for the other person?

Effective listening is as much about sincerity and being real as it is about using listening techniques. It starts with a personal commitment and readiness to actually listen. This requires you to set aside you own ideas and ways of doing things and provide some space for another's perceptions. Equally, the employee needs to do this for you.

Deep listening requires of us a suspension of judgement. We cannot listen whilst forming yes/no, good/bad, helpful/useless, true/false evaluations about what is being said. We speak at 200 words a minute and think at 800 words a minute and, unfortunately, we usually use the differential to judge, refute and prepare the counter argument. Obviously, there will come a stage when these judgements do have to be made – we have to decide what to commit to – but our habit is to jump in far too early.

Suspension of judgement means developing the skill to observe mental judgements (your own and others') from a neutral position. Judging limits our ability to see the whole picture. It shuts down our listening. It stops the possibility of new and breakthrough ideas in their tracks. Even if you think you are good at suspending judgement, wait until someone says something that you think is seriously half-baked, obviously off the wall or plainly incorrect and notice your instantaneous judgement to that effect. We use pre-established pigeonholes which we have made over many years by accepting the view of parents, teachers, mentor, authority figures and our own experience. In many instances, naturally, these pigeonholes are extremely valuable to us, which is why we continue to use them. But they become troublesome criteria filters when we are trying to practise deep listening.

When you have a review/feedback session with the coaches, the following guidelines can assist you:

9. EVALUATE AND REPORT

The different roles and benefits of stakeholders can be summarised as follows:

Stakeholders	**Role**	**Benefits**
Shareholders	Financial support and commitment	Better financial return /profits
Management	Provide strategic direction and support process on all levels	Increased performance of line department
Coaches	Manage process on day-to day basis	Increased performance of line department
Human Resources	Project Management. Provide expert guidance and consulting support	Improved credibility of HR initiatives and opportunity for project implementation reward

Unions	Support process by buying into the concept	Increased financial reward and development for their members
Learners/Coachees	Buy-in and active participation	Better financial regard and development of skills and knowledge.

It is therefore important to analyse the value add of the learning development and coaching expense and to report back.

The final logical stage in the development process is to find out how effective the training and coaching has been. There are few who would disagree with this and yet practice tends to suggest that in many organisations validation of development is either ignored or it is approached in an unconvincing or an unprofessional manner. In some organisations, it has been claimed that validation is too costly it doesn't really prove anything, or it isn't really applicable because development cannot be valued in financial terms. Some coaches have reflected a defensive approach to validation because they have felt that it invites criticism.

QUALITY ASSURANCE

An effective quality assurance framework consists of three elements.

<u>Setting quality standards and targets:</u>

- Targets around enrolment, retention and achievement of the qualification.
- Targets for developing the delivery of the programme.

<u>Self–assessment to determine strengths and weaknesses of provision through evidence gained by:</u>

- Obtaining views – by asking learners, facilitators and other stakeholders
- Observing the learning and teaching of skills

- Benchmarking performance
- Measuring performance against targets

<u>Improvement plans</u>

- Recognising strengths and planning to disseminate good practice.

- Identifying weakness and detailing actions to achieve improvement.
- Feeding into strategic and operational plans.

REVIEW THE DEVELOPMENT AND COACHING PROCESS

Internal validations concerned with assessing whether development of learners achieved its objectives, in other words, "did the learners learn what they were taught/" External validation aims to find out if the learners have applied what they have learned during development, to the job context and whether they are able to perform to the level expected to them after training.

Suggested steps of levels within such an approach, which reflect the work of Hamblin (1974) and of Kirkpatrick (1976), are:

- Reaction: How the learners and the coaches reacted to the experience. Their feelings about the structure and content of the development and coaching methods employed. Reaction informs you how relevant the training is to the work the learners perform (it measures how well the training requirement analysis processes worked.
- Learning: The principles, facts and techniques learned by the students. Learning informs you tot eh degree of relevance that the training package worded to transfer KSAs from the training material to the learners (it measures how well the design and development processes worked).
- Job behaviour and performance: The changes in job behaviour and performance resulting from the development and how learning at the previous level has been applied by students. The performance level informs you of the degree that the learning can actually be applied to the learner's job (it measures how well the performance analysis process worked).
- Organisation: The tangible results of development in terms of organisational improvement and change. Impact informs you of the "return" the organization receives from the training. Decision-makers prefer this harder "result" although not necessarily in Rands and cents. For example, a recent study of financial and information technology executives found that they consider both hard and soft "returns" when it comes to customer-centred technologies but give more weight to non-financial metrics (soft), such as customer satisfaction and loyalty (Hayes, 2003).

Reaction Level

The reaction level as it is described by Hamblin and by Kirkpatrick relates to how the students or trainees reacted to their development, in other words, how much they liked it.

These reactions reflect the learner's opinions in four main areas:

- The knowledge and skills content of training and coaching as it is expressed in the objectives.
- The methods of tactics used during development coaches and facilitators delivered it.
- The general learning conditions and environment in which the development took place.
- The degree to which the attitudinal objectives of the development programme have been achieved.

Getting Feedback from Learners

One way to evaluate a learning event is to get feedback from the learners to see if the transference of skill into the workplace has taken place.

Learning Impact

This is the extent to which participants change attitudes, improve knowledge and increase skill as a result of attending the program. It addresses the question: Did the participants learn anything? The learning evaluation requires post-testing to ascertain what skills were learned during the training. In addition, the post-testing is only valid when combined with pre-testing, so that you can differentiate between what they already knew prior to training and what they actually learned during the training program.

Measuring the learning that takes place in a training program is important in order to validate the learning objectives. Evaluating the learning that has taken place typically focuses on such questions as:

- What knowledge was acquired?
- What skills were developed or enhanced?
- What attitudes were changed?

Learner assessments are created to allow a judgment to be made about the learner's capability for performance. There are two parts to this process: the gathering of information or evidence (testing the learner) and the judging of the information (what does the data represent?). This assessment should not be confused with evaluation. Assessment is about the progress and achievements of the individual learners, while evaluations about the learning program as a whole (Tovey, 1997, p.88)

Evaluation in this process comes through the learner assessment that was built in the design phase. Note that the assessment instrument normally has more benefits to the designer than to the learner. Why? For the designer, the building of the assessment helps to define what the learning instruments that normally poorly correlates with the realities of the performance on the job and they rate learners low on the “assumed” correlatives of the job requirements (Gilbert, 1988). Thus the next level is the preferred method of assuring that the learning transfers to the job.

4 A. Individual Formative Exercise: Liaison with HR

4 B. Individual Formative Exercise: Key Performance Areas

4 C. Individual Formative Exercise: Selection of first line manager

4 D. Individual Formative Exercise: Interviewing of candidates

4 E. Individual Formative Exercise: Making a hiring decision

4 F. Individual Formative Exercise: Coaching planning

4 G. Individual Formative Exercise: Recording system

4 H. Individual Formative Exercise: Purpose of the Coaching process

4 I. Individual Formative Exercise: Content of coaching process

4 J. Individual Formative Exercise: Activities in coaching process

4 K. Group Formative Exercise: Coaching schedule

4 L. Individual Formative Exercise: Identifying gaps and resolutions

4 M. Group Formative Exercise: Feedback to the coachee

Learning Unit 5
Negotiating and conflict handling techniques

Negotiating and conflict handling techniques

Unit Standards	
252035	Select and coach first line managers
Specific Outcomes	
1. Select first line manager for a specific position. 2. Plan the coaching process of a first line manager. 3. Coach selected first line manager. 4. Monitor and measure the results of coaching sessions.	
Learning Outcomes	
1.1 An analysis is conducted of the job profile to determine the key performance areas for the first line management position. 1.2 Selection and weighting criteria for the Key Results Areas of the first line management position is described on the basis of the job profile 1.3 Liaison with the recruitment function of the entity is undertaken to ensure understanding of the requirements of the position. 1.4 Interviewing, desk checking and/or other techniques are used to arrive at a short list of the candidates who applied for the position. 1.5 Decisions are taken and offers made to the selected manager in accordance with organisational policies and procedures 2.1 A coaching plan and schedule is drawn up according to identified priorities in a unit.	

2.2 Records of expected performance against the manager's Key Results Areas are prepared to serve as a basis for discussions with the selected manager.

2.3. A system is implemented for recording the decisions, commitments made and other relevant information from the discussions

3.1 The purpose, content and schedule of the coaching process is explained to the selected manager in order to reach agreement on the coaching process.

3.2 During the coaching sessions the selected manager's performance is discussed against the Key Result Areas and recorded for future reference.

3.3 Identified gaps and actions to close them are agreed upon and recorded in the coaching action plan.

3.4 Feedback given to the manager is honest, constructive and supportive.

4.1 Actions agreed to at a coaching session are monitored at the times agreed to during the coaching session.

4.2 Positive feedback is given to the selected manager for accomplishments against the coaching action plan.

4.3 Corrective actions agreed upon are recorded in areas where requirements in the coaching action plan have not been met.

4.4 Follow up action taken on the basis of the manager's response to the coaching is in line with organisational policies and procedures.

4.5 Line managers are encouraged to use the coaching process with people reporting to them after explaining and agreeing a system with them.

Critical Cross-field Outcomes

- Identify and solve problems relating to the implementation of a coaching process.
- Work effectively with others during coaching sessions with a first line manager.
- Organise and manage oneself and one's activities in preparing a coaching schedule.
- Collect, evaluate, organise and critically evaluate information concerning applicants for a position.
- Communicate effectively in explaining the coaching purpose and process.
- Demonstrate an understanding of the world as a set of related systems by guiding the first

line manager to understand the interrelationship between work processes.

Introduction

Mention the work "conflict" and most people think of fights, riots or war. In fact, on just about every day of every year one can find approximately two dozen armed combat situations somewhere in the world. But these extreme situations represent only the most violent expressions of conflict. During a typical day, managers, employees, mothers at home and children encounter more subtle and non-violent types of conflict such as arguments, criticism and disagreement. It is an inevitable part of every day. There could even be conflict in the coaching process. This should be handled very carefully as it could damage the coaching process and the development of the employee would suffer tremendously.

If you live long enough you will experience conflict. The chance that everyone will like us or get along with us is very minimal. Inevitably we will disagree with someone. When this happens, handling the conflict with a level head avoids stress and keeps the chance of the conflict escalating less likely.

Handling conflict does not have to be confrontational in the classic sense. Coming into the meeting ready to fight is not the best way to handle a conflict.

Conflicts can occur at any time. You could be in a grocery store and the cashier may act rude as they ring up your groceries. We've all had that happen at least once, right? The first reaction is to slam the money on the counter or to snap back at them. In that instant we have taken their problems as our own and created a stressful situation that changes the tone of the rest of our day.

5.1 <u>The nature of conflict</u>

Stephen Robbins defines conflict as "all kinds of opposition or antagonistic interaction. It is based on scarcity of power, resources or social position, and differing value systems." In one sense, conflict can be healthy if it leads to new insights, greater understanding or prevents the long slide into unquestioned habit and groupthink. Conflict can be defined as a process where one party perceives that another party has negatively affected (or is about to negatively affect) something of concern to the first party.

Some people believe that conflict should be avoided. This is also believed to probably be unrealistic. (Traditional approach)

Some people believe conflict is a natural part of life and people need to learn how to deal with it. (Human relations approach).

Some people believe conflict is beneficial, even necessary, to promote progress. (Interactionist approach)

Functional Conflict:

When conflict outcome supports the goals of the organisation, it is said to be functional.

Dysfunctional Conflict:

If the conflict outcome does not support the goals of the organisation or hinders its performance, it is viewed as dysfunctional.

5.2 Causes of conflict

Certain situations produce more conflict than others. By knowing the primary causes (or antecedents) of conflict, managers are better able to anticipate conflict and take steps to resolve it if it becomes dysfunctional.

5.2.1 Values

Differences in value systems have enormous power to provoke conflict. The word "value" comes from the French verb "valoir," meaning "to be worth," and has associations with valour, importance and worth. Values constitute our deepest sense of what is, line our respective views, right, correct and how things should be. We tend to be very prescriptive about issues which are connected with our value system, and we are likely to experience a challenge to our values as unacceptable or intolerable.

Examples of values would include:

- How we want to behave with each other
- How we want to behave with customers
- How we like to spend our leisure time
- How we believe children, spouses, partners, employers, employees, unions, management, students, lecturers, doctors, dentists, lawyers, sportspeople,, pro-abortion, pro-choice, dry cleaners, cigarette smokers and any other category of persons should behave.

Our own values are the lines we have no intention of crossing, and we expect others to feel the same way. When they do not, trouble is inevitable.

5.2.2 Perceptions and perspectives

Perceptions and perspectives comprise the mindset, the collective views we hold regarding a topic or an issue. The phrase: Perception is reality, means that we all mediate to some extent the data which we objectively perceive, and create a personal reality and a personal meaning which may be quite different from the meaning created by someone else who saw exactly the same thing. It is common for people to believe that their view is the correct view, even the only view. Naturally, this is a rich source of conflict, for multiple views and perspectives abound!

5.2.3 Attitudes

Attitudes are a related aspect of perceptions in that they constitute our thoughts whether something is good or bad. Attitudes are learned and become patterns of response which incline an individual to certain types of behaviour. We say that people have a "conservative" attitude, or a "positive" or a "negative" attitude. Attitudes express our values and reflect in the things we do. Attitudes can only be discerned by the accompanying behaviour. It is easier to change attitudes than to change values, because attitudes are more readily influenced by daily encounters and experiences.

5.2.4 Culture and ethnicity

Different cultures have different rules about what is right or wrong; what is acceptable or not.

5.2.5 Motives and "agenda"

When different parties have different motives, either openly or hidden, there is plenty of room for conflict. A motive is a drive towards attaining a specific objective and may be openly expressed. A hidden agenda will be more covert.

5.2.6 Use of language

Words and the tone of what is said or written have the power to produce strong emotional reactions, whether writers have crafted the effects of their message with deliberate intent to arouse such emotions or are simply unaware of how provokingly they are coming across.

It is the responsibility of the communicator, not of the recipient of the communication, to create the message in a way which is appropriate both to the receiver and to the occasion. For example, the proficiency of the recipient in the language must govern the way the language is used; and if the occasion is a personal message or for a public notice board, the tone of the communication will be different.

5.3 <u>Responding skills/actions</u>

If you as the coach should find that there is some kind of conflict situation developing, the best way is to pay attention immediately before it becomes a problem that could jeopardise the coaching process.

5.3.1 Active listening:

It is extremely difficult to find words which will do justice to the role of listening in any conversation, whether or not conflict is involved. "Listening is the doorway through which we allow the world to enter". How we listen, to what and to whom we listen and the assumptions through which we listen all create our perception of reality. We listen and create reality based on what we decide to hear moment by moment.

Active listening is tuning into both content and feelings. You're listening with your eyes, ears and emotions; noticing body language and tone of voice; refraining from judgement; empathising with the speaker's feelings. You are participating actively — with both your words and your non-verbal actions.

When it comes to effective conflict resolution, how effectively we listen is at least as important as how effectively we express ourselves. It's vital to understand the other person's perspective, rather than just our own, if we are to come to a resolution. In fact, just helping the other person feel heard and understood can sometimes go a long way toward the resolution of a conflict. Good listening also helps for you to be able to bridge the gap between the two of you, understand where the disconnect lies, etc. Unfortunately, active listening is a skill that not everybody knows, and it's common for people to think they're listening, while in their heads they're actually formulating their next response, thinking to themselves how wrong the other person is, or doing things other than trying to understand the other person's perspective. It's also common to be so defensive and entrenched in your own perspective that you literally can't hear the other person's point of view.

5.3.2 Suspending judgement:

Suspension of judgement is about developing the ability to observe judgements (your own and those of others) from a neutral position, remaining detached and non-reactive. Why is this skill essential in active listening? No one likes to feel judged. Judgements shut down conversations and inhibit creative thinking. They undermine the very atmosphere that is required to encourage people to open up about causes of conflict and misunderstanding. Judgements limit our ability to listen.

5.3.3. Get in touch with your own feelings:

An important component of conflict resolution involves only you -- knowing how you feel and why you feel that way. It may seem you're your feelings should already be obvious to you, but this isn't always the case. Sometimes we feel angry or resentful, but don't know why. Other times, we feel that the other person isn't doing what they 'should,' but we aren't aware of exactly what we want from them, or if it's even reasonable.

5.3.4 Reflecting feelings:

Reflecting feelings shows you have detected and can express how the person feels. The benefits are:

- ❖ The person feels that you understand both the content and the feeling behind the content
- ❖ It reduces defensiveness
- ❖ It defuses emotional situations by helping the person calm down and devotes energy to problem solving.

5.3.5 Practice Assertive Communication

Communicating your feelings and needs clearly is also an important aspect of conflict resolution. As you probably know, saying the wrong thing can be like throwing fuel on a fire, and make a conflict worse. The important thing to remember is to say what's on your mind in a way that is clear and assertive, without being aggressive or putting the other person on the defensive. One effective conflict resolution strategy is to put things in terms of how you feel rather than what you think the other person is doing wrong, using 'I feel' statements.

5.3.6 Seek a solution

Once you understand the other person's perspective, and they understand yours, it's time to find a resolution to the conflict -- a solution you both can live with. Sometimes a simple and obvious answer comes up once both parties understand the other person's perspective. In cases where the conflict was based on a misunderstanding or a lack of insight to the other's point of view, a simple apology can work wonders, and an open discussion can bring people closer together.

Other times, there is a little more work required. In cases where there's a conflict about an issue and both people don't agree, you have a few options: Sometimes you can agree to disagree, other times you can find a compromise or middle ground, and in other cases the person who feels more strongly about an issue may get their way, with the understanding that they will concede the next time. The important thing is to come to a place of understanding and try to work things out in a way that's respectful to all involved.

5.3.7 Know when it's Not Working:

Because of the cause of the toll that ongoing conflict can exact from a person, sometimes it's advisable to put some distance in the relationship or cut ties completely. In cases of abuse, for example, simple conflict resolution techniques can only take you so far, and personal safety needs to take priority. When dealing with difficult family members, on the other hand, adding a few boundaries and accepting the other person's limitations in the relationship can bring some peace. In friendships that are unsupportive or characterized by ongoing conflict, letting go may be a great source of stress relief. Only you can decide if a relationship can be improved or should be let go.

5.4 <u>Five tips for handling conflict:</u>

a. Think about the situation. We are quick to respond when someone says what we don't like. Take the time to breathe before responding. In that breath replay the words spoken.

b. Make the hard decision. In many cases, the conflict that arises is not the first of its kind. Harsh or offensive words or deeds could be a recurring theme in the relationship. Decide if this affiliation is worth saving or if it is time to cut the person loose. Leaving the association could result in a lost friendship, a divorce, or changing jobs. Sometimes, for our own sake, these things are better in the long run than staying in a bad relationship.

c. Wait a day. Don't respond right then. Give yourself time to talk over the situation with a trusted friend. Maybe you overreacted.

Sometimes, a third party can see something that you missed in the heat of your anger. In these cases, apologize where necessary. If the consensus is that you were wronged, then bring the matter to the attention of the other person with a level head not a hot one.

d. Find a solution. A common conflict, especially among spouses could result from wanting to make a purchase that there isn't enough money for. Instead of brooding, come up with favorable solutions that could get you what you want or need. Get a second job to earn the money.

e. Apologize if you were in the wrong. Just because something is true doesn't mean that it has to be said. Telling someone that they are wearing a dress that is too small for them is not a positive way to help them lose weight. Understand how it could be offensive to them and apologize. Better yet, stop and think before you respond in situations such as these. Put yourself in the other person's shoes beforehand. Part of resolving conflicts is realizing our role in it.

Facing confrontational situations is not easy. But it is not inevitable and sometimes it has to be done. Learning conflict resolution techniques can alleviate the stress of these situations.

5.5 Negotiating skills

As the coach you will be constantly in contact with the coachee. As we have mentioned earlier on, conflict situations could evolve from time to time. You will also have to act as a "shield" between the coachee and the other employees. For this you will need skills to negotiate yourself and the coachee through these situations.

What is negotiation? It is communication in which the parties seek agreement to an exchange between them.

Guidelines that you can follow:

- ✓ Parties, not opponents. You should work together to resolve the issue to be negotiated.
- ✓ Set the ground rules. These might include timekeeping, staying respectful or how discussions will be structured.
- ✓ Know your authority. State your authority up front to avoid the coacher seeking to negotiate with someone else in your organisation from whom he/she might think he/she can get a "better deal".
- ✓ Explore needs and wants, not demands. Also focus on what interests underpin the coacher's position.
- ✓ Ask for specific evidence. Do not allow vagueness in negotiations. If you have any reason to doubt what you are being told, ask for the evidence.
- ✓ Do not antagonize or insult. When you know he/she is lying to you, it is so tempting to call them a liar – but don't! No matter what is said, avoid making personal attacks.

- ✓ Be conscious of the difference between positions and interests. If you can figure out why you want something - and why others want their outcome - then you're looking at interests. Interests are the building blocks of lasting agreements.

- ✓ Be creative. Anyone can do things the same old way. Using brainstorming techniques, listening to outlandish proposals and opening up to unanticipated possibilities expand agreement opportunities. If you respond with new ideas and do the unexpected, you can open doors to far greater gains than when you behave predictably. Creativity can make everyone look good.

- ✓ Be fair. If people feel a process is fair, they're more likely to make real commitments and less likely to walk away planning ways to wriggle out of the agreement. Sometimes things are helped when a neutral, external authority is used to measure fairness.

- ✓ Be prepared to commit. You shouldn't make a commitment unless you can fulfil it. Commitment isn't likely to result unless all parties feel the process has been fair.

- ✓ Be an active listener. Communication takes place when information passes from a source to a receiver. If you spend all of your listening time planning how to zing the other party, then, when they finally stop talking, you haven't heard them. Focus on what others say, both on their words and their underlying meaning. This will help you understand the interests upon which agreement can be based. When your response makes it clear that you've really been listening

  (And the other party gets over the initial shock), they, too, may be more prepared to listen. Active listening can change the rules of the game and raise the level of civility in the negotiation.

- ✓ Be conscious of the importance of the relationship. Most of your negotiation is with repeaters (people you run across time after time such as your spouse and kids). The same is true for borrowers, directors and representatives of affiliated institutions. If you understand the relative priority of the relationship, it can be easier to know when giving on a particular point may yield short-term cost but long-term gains.

- ✓ Be aware of BATNAs. BATNA stands for the Best Alternative to a Negotiated Agreement. Your BATNA is the situation you want to improve by negotiating with a given party or set of parties. If you can improve things on your own, you don't need to negotiate. But BATNA is not your bottom line. It's a measure of the relative value of negotiating a particular issue with a particular party - or whether you can fall back on better alternatives. Be prepared. In order to negotiate effectively, efficiently and wisely, it's crucial to prepare. Your job isn't to outline a perfect, total solution; that would be a positional approach. Preparation means studying the interests and BATNAs of every possible party. It means understanding the short- and long-term consequences you use and the substantive results you pursue. Doing your homework can save a lot of time.

5 A. Individual Formative Exercise: Conflict situations

5 B. Individual Formative Exercise: Negotiation skills

S 2: Summative Exercise

Part 2

Learning Unit 1
Identify Performance Objectives and Goals

Unit Standard	
252034	**Monitor and evaluate team members against performance standards**
Specific Outcomes	
SO1: Formulate performance standards for team members in a unit	
Learning Outcomes	
At the end of this unit you will be able to demonstrate an understanding of: ▪ Identify, articulate and communicate specific goals and objectives contributing to the achievement of the division's vision and mission. ▪ Identify performance objectives and goals relevant to specific teams and allocated them to specific team members based on their level of expertise, Competence and time availability. ▪ Formulate specific, measurable and achievable objectives for each individual. ▪ Ensure that all the critical areas of performance are covered by the identified goals and objectives.	
Critical Cross-field Outcomes	
▪ Identify & solve problems ▪ Work as member of a team ▪ Organise and manage	▪ Collect, organise and critically evaluate ▪ Communicate effectively ▪ Understand the world as integrated set

:

MANAGE INDIVIDUAL AND TEAM PERFORMANCE

INTRODUCTION

What do most people think of when they hear the term '*performance management*'? For many, it signifies an unpleasant performance appraisal session, either as a giver or a receiver. The next thing that may come to mind is that it is a paper-work-intensive, ineffective system that gets in the way of employees doing 'real work' in an organisation.

WHAT IS PERFORMANCE MANAGEMENT REALLY?

Below is a workable definition of performance management:

DEFINITION
Performance management is the process of planning, implementing, monitoring, improving and sustaining the efficiency and effectiveness of organisations, teams and individuals.

When examined closely, it is clear that this definition contains three main concepts.

They are the following:

1. It indicates that the process applies at three integrated levels namely:
    - The organisation as a whole
    - Units within the organisation (divisions, departments, teams, etc)
    - Individual staff members

2. It indicates that the process has five major components:
    - Planning and contracting performance requirements
    - Implementing planned activities
    - Monitoring and measuring performance levels
    - Improving activities
    - Sustaining achieved performance levels

3. It is important to realise that improving efficiency and effectiveness refers to both whether in individuals, teams or organisational context:
    - Improving performance; and
    - Developing skills and knowledge.

In summary, it can be concluded that Performance Management encompasses both the aspects of performance improvement and the development of human resources. Performance can only be improved to a limited point without the development of the skills and knowledge of the people from whom the improved performance is expected. The most effective performance management system therefore focuses on these two diverse aspects of performance management separately: "What the company gets out of it" and "What the employees get out of it". It needs to be a balanced, two-way beneficial agreement if you want to ensure success.

The Performance Management system should therefore

- Focus on performance improvement mainly to achieve the organisation's current performance requirements with current available human resource potential.
- Focus on the development of human resources to enable the organisation to reach its vision and future performance objectives such as reducing cost, improving quality and increasing productivity in an ever-changing competitive environment.

Although these two issues cannot really be separated from each other, it is advisable to address them separately for functional purposes.

WHAT IS THE PURPOSE OF PERFORMANCE MANAGEMENT?

Since the 1980's organisations started to realise the importance of the effective utilisation of people as resources, as opposed to the other resources in the organisation in order to become World Class competitors. All organisations are focused on reducing cost, improving quality and increasing productivity. It is important to understand that collectively, the performance of individuals determines that of teams, departments and ultimately, the entire organisation.

A Performance Management System therefore holds benefits for an organisation on three diverse but aligned levels:

Organisation	Teams	Individual
‣ Alignment of strategic business needs with team and individual performance	‣ Creates group accountability	‣ Provides clear sense of direction
‣ Enables performance planning, development and review	‣ Establishes team work plans	‣ Provides guidelines for training and development
	‣ Provides focus	‣ Provides opportunity for targeted incentives

Performance Management is an integral part of day-to-day staff management, but it is specifically focused on improving individual performance and developing individual skills and knowledge, which in turn leads to better team and organisation performance.

It is clear that people cannot be effective unless:

- They know what they are supposed to do.
- They are capable of doing it.
- They receive feedback on how they are doing.

The purpose of a performance management system is therefore to:

- Help organisations meet objectives and carry out major initiatives.
- Identify ways in which people can contribute to their work team.
- Provide people with a complete picture of what results are to be achieved and how to achieve them.
- Extend thinking beyond a one-time appraisal to an ongoing, day-to-day process.
- Help people improve their performance, ensuring job success.

We can therefore conclude that the purpose of the performance management process is to translate organisation strategy in such a way that everybody in the organisation understands what his/her specific contribution is in achieving the organisations' strategy.

A PERFORMANCE MANAGEMENT PHILOSOPHY

Organisations often place too much emphasis on administrative excellence and centralised control. When developing a performance and development management strategy attention should be given to flexibility of strategy and the participation and cooperation of all stakeholders in making a contribution and taking ownership for the improved performance of the organisation. The focus is to create a win-win solution for all involved. To ensure success, a performance management system must be designed to reward improved performance and ensure that the right people are recognised and rewarded.

In developing a performance management system, the organisation must ensure that there is emphasis on aligning the new strategy with the reward strategy and even more importantly aligning both reward and performance with the overall company strategy. This means that all human resource initiatives must be driven by an inspiring company vision, mission and values where rewards and benefits are aligned with required performance.

The goal with any performance management strategy must be performance-based remuneration where the right behaviour is rewarded and where there is an output orientation with emphasis on continuous improvement.

WHO IS RESPONSIBLE FOR PERFORMANCE MANAGEMENT?

Performance management is the responsibility of all stakeholders (shareholders, executive management, line management, human resources, unions and employees).

If developed, implemented and managed correctly, performance management can be to the advantage and advancement of everybody in the organisation. The different roles and benefits of stakeholders can be summarised as follows:

	Role	Benefits
Shareholders	Financial support and commitment	Better financial return / profits
Executive Management	Provide strategic direction and support process on all levels	Increased productivity leads to better financial performance
Line Management	Manage process on day-to-day basis	Increased performance of line department
Human Resources	Project Management. Provide expert guidance and consulting support	Improved credibility of HR initiatives and opportunity for project implementation reward
Unions	Support process by buying into the concept	Increased financial reward and development for their members
Employees	Buy-in and active participation	Better financial reward and development of skills and knowledge

IS YOUR ORGANISATION READY FOR PERFORMANCE MANAGEMENT?

An organisation has to be ready for performance management before this process can be implemented successfully and add value to the organisation. To assess the readiness of your organisation for performance management you can apply the following diagnostic instrument developed by CPA Australia (www.cpaaustralia.com) or any other similar diagnostic instrument.

Select the number that best suits your organisation. Use the key below to rate your organisation along the continuum between each pair of statements in the table on the following page.

1 = Strongly agree with statement on left

2 = Agree with statement on left

3 = Neutral

4 =Agree with statement on right

5 =Strongly agree with statement on right

CRITERION	CONTINUUM					CRITERION
We take planning seriously	1	2	3	4	5	Planning is a paper exercise for us
We know what factors influence the performance of our business	1	2	3	4	5	We have never really come to grips with the factors that influence the performance of our business
We take a long term view of our business	1	2	3	4	5	We operate mostly from day to day
Our managers take broad view of business results	1	2	3	4	5	Our managers focus only on financial outcomes
We have strong human relations in our company	1	2	3	4	5	We are not really a people focused business
People accept accountability readily on our business	1	2	3	4	5	People avoid taking accountability in our business
We use consultants sparingly – only where we lack the skills required for the task	1	2	3	4	5	We over-use consultants – they are everywhere in our company
The sections of our business work well together	1	2	3	4	5	The sections of our business work as silos
We apply tools/techniques only when we are sure they are right for us	1	2	3	4	5	We apply the latest tools / techniques without fully evaluating their value to us
If staff need skill development in our business, they get it – no questions asked	1	2	3	4	5	We do not provide adequate training and development for our staff

Your score **Total:___________**

If you scored less than 30 on this diagnostic instrument, your organisation is ready for performance management. If you scored more than 30, your organisation is less ready for performance management but more in need if it. This means that the organisation:

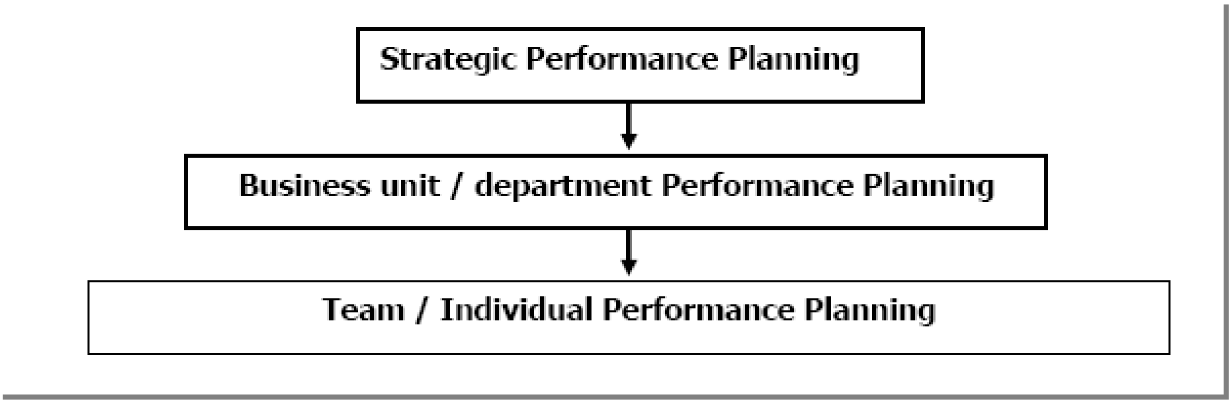
- Is in strong need of performance management because the attitudes/capabilities of the organisation are not performance focused.
- Should change the attitudes/capabilities of the organisation through the performance management process itself – it will force people to develop attributes more like column 3 than column 1 in the diagnostic.

- Will find implementing performance management relatively difficult.

You are now ready to start exploring performance management in more detail. I hope you enjoy the course and that you and your organisation will benefit from the knowledge gained from this material.

1. IDENTIFY, ARTICULATE AND COMMUNICATE SPECIFIC GOALS AND OBJECTIVES CONTRIBUTING TO THE ACHIEVEMENT OF THE DIVISION'S VISION AND MISSION

Effective performance management is essentially a cascading process, which filters down from the highest ranks to the lowest ranks in an organisation. This means that the organisations strategic plan (long term) forms the basis of the business plan (short term). This, in turn, provides the basis for team and individual performance. An integrated performance management system should therefore be developed to ensure that each level of performance feeds into the next level efficiently.



1.1 Strategy

Before one can identify goals and objectives that will contribute to the achievement of a division's vision and mission, one would have to start with the organisation's vision, mission and values. That is the organisation's strategy. A very clearly defined top-down approach needs to be followed to ensure that individual goals and objectives tie in with team goals and objectives which, in turn, have to tie in with division goals and objectives, which are linked to the organisation's goals and objectives.

An organisation's performance planning typically occurs in four plans.

- Strategic plan – performance requirements over the next 3-5 years
- Business plan – performance priorities for the next year

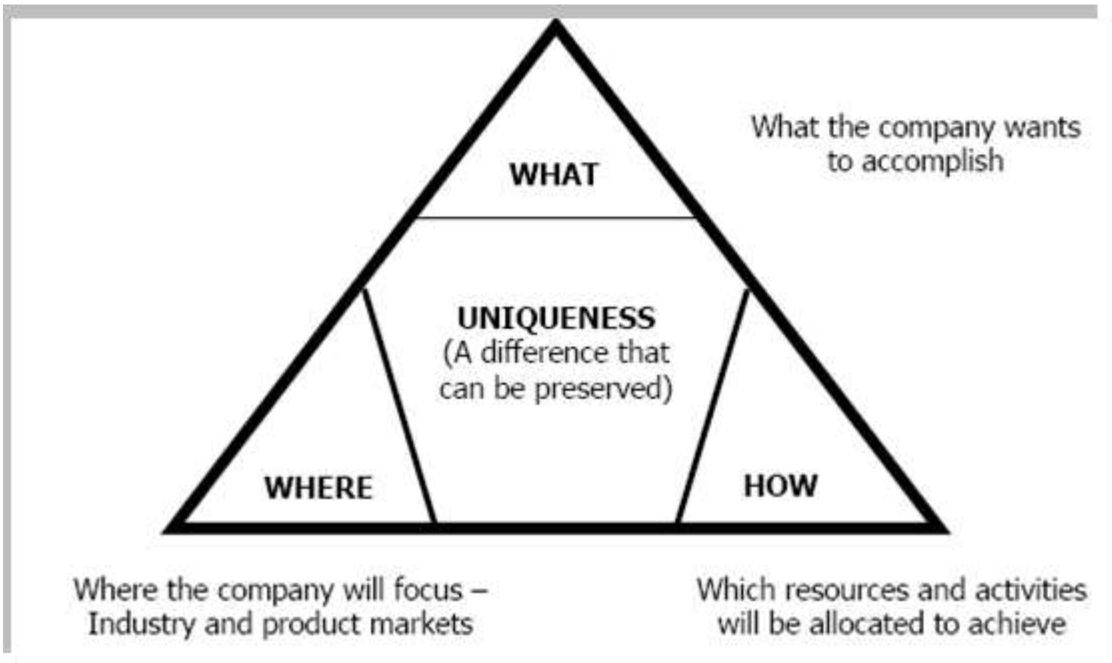
- Division/department/team plan – the role of these entities in achieving the goals in the business plan
- Individual performance plans – what each person (staff or manager) will achieve in the next year.

All of this is what we refer to as the organisation's strategy. Strategy is the process by which an organisation manages its internal resources and capabilities to take advantage of the opportunities in the external environment, whilst addressing the threats that are likely to impact on the company.

a. Definition of strategy

Strategy can therefore be defined as the long-term direction a company believes it should take, based on a combination of information available today and intelligent assumptions made by the management of the company.

b. Components of strategy



The first step **is to identify**, understand and communicate your organisation's vision, mission and values. The vision, mission and values provide overall context for Strategic Performance Management. They are the standard starting point for any strategic planning activity.

DEFINITION

The **vision** is the overall target of the organisation. It represents the ideal performance outcome in a perfect future. Where the organisation would like to see itself as an ultimate goal. Vision is seeing victory before it exists – getting where you want to go.

DEFINITION

The **mission** is the fundamental purpose of the organisation. It explains the 'what' and 'how'. What products and services are produced and in which manner, in order? to ultimately achieve the organisation's vision.

DEFINITION

The **values** can be defined as a set of beliefs or operating principles that guide organisational behaviour. This is when concepts like innovation, teamwork, respect, empathy, etc. influence the way in which the vision and mission is achieved.

Activity 1

Complete the following:

My organisation's vision is:

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My organisation's mission is:

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My organisation's values are:

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Once you are clear on your organisation's vision, mission and values, it is time to concentrate on your division/department's vision and mission which should clearly be aligned with and supporting the achievement of the overall vision and mission.

Good strategy is based on evidence (not subjective preference). Hence strategy analysis, for gathering evidence, is a critical component of strategic performance management. Gathering the evidence for strategy implies an analytical process that has two important elements.

- External analysis: The opportunities and threats that will arise in the future.
- Internal analysis: The internal strengths and weaknesses of your department.

These two elements are commonly referred to as a SWOT analysis (Strengths, Weaknesses, Opportunities and Threats).

Activity 2

Use the space below to fill in the SWOT analysis for your department as done in your Pre-Course Work. This information will assist you greatly in determining which performance areas to focus on when establishing goals and objectives contributing to your division's mission and vision.

Strengths	**Weaknesses**
Opportunities	**Threats**

My division/department's vision is:

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My division/departments mission is:

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NOTE: Please remember that your division/department's vision and mission must be aligned with and supportive of your organisation's vision and mission.

Now that you have a better understanding of the vision and mission aspects, you should be in a position to identify, articulate and communicate specific goals and objectives contributing to the achievement of the division's vision and mission.

This stage of the performance management process formalises what the division wants to achieve.

1.2 Establishing strategic goals and objectives for your division

Take the information from your strategy analysis (external and internal) and convert it into a set of goals and objectives that will drive your division over the next 12 months.

This process of formulating strategic objectives is often relatively simple. The process can be summarised as follows:

- Key external issues and trends (opportunities and threats) – involves answering the question: 'what do we intend to do about challenges that face us in the external environment?'

- Internal skills and resources – involve asking the question: 'We now know what our strengths and weaknesses are. What do we intend to do about it in order to meet the challenges posed by the changing external environment?'

- Analysis of the constraints – requires asking the question: 'What constraints do stakeholders impose on our future operations?' 'What restrictions - physical, human and financial- will we have to operate under?'

Given that organisations suffer from resource constraints and that it is not feasible to achieve every strategic objective, a process must be established whereby a 'wish list' can be converted into an actionable list of strategic goals and objectives for every division. This can be achieved in two stages:

- It is necessary to allocate priorities to alternative objectives. The method of allocating priorities will vary from division to division, depending on the particular requirements of each of the available resources.

- Management must ensure that the strategic objectives conform to the following appropriate attributes:

Specific

What is the exact scope of the objective? What is included and what is not?
What might be thought to be included but is being done by someone else?
What must be done with the outputs?

Measurable

What measures will be used to know that the objective has truly been reached? When and how often will the process be measured? What measurement tools can be used to determine success? What format must the output take?

Achievable

A delegated impossibility is still impossible! If there is doubt over whether the objective is achievable, then the first part of the process should be either to test feasibility or to identify what would have to be changed in order to make the rest feasible.

Realistic

What is a realistic task for a functional expert to undertake in a week may not be realistic for a junior joiner in a month? A series of roll-out meetings might be scheduled in two weeks, but clashes with public and personal holidays could mean that a month will be required. The test for a good objective is that it always deals with the reality of how long it will take to do things, rather than how long we would like it to take if we could ignore inconvenient facts.

Time bound

An objective without a clear specification of its timing priority is likely to be put at the bottom of the list. It will not get done. The simplest way to ensure that an objective will be achieved is to agree on a realistic deadline, even for objectives that are not time critical for success.

This means that for every objective a specific method of measuring or monitoring must be identified and agreed upon. For every objective a specific time frame for monitoring or completion must also be agreed upon. This will mean that your objectives are truly

SMART.

Key Result Areas (KRA's) group a division/department's goals and objectives into cohesive and related areas of strategic concern. This ensures that the division's effort is not a disjointed quest for a multitude of objectives, thus reducing fragmentation and isolation of issues.

The ultimate questions to be asked when testing your KRA's are:

- "What is the purpose of my division?"
- "What are we supposed to achieve?"
- "How does my department contribute towards the existence of the organisation?"
- "Will achieving this KRA indicate that we are successful as a department?"

Once you have identified your Key Result Areas, you have to identify specific goals and objectives, which will help you to achieve the department's specific KRA's. Using the table below, list as many goals and objectives as would be required to achieve each KRA.

KRA's	Departmental Goals and Objectives for each KRA
KRA 1	
KRA 2	
KRA 3	
KRA 4	
KRA 5	
KRA 6	
KRA 7	

2. IDENTIFY PERFORMANCE OBJECTIVES AND GOALS RELEVANT TO SPECIFIC TEAMS AND ALLOCATE THEM TO SPECIFIC TEAM MEMBERS, BASED ON THEIR LEVEL OF EXPERTISE, COMPETENCE AND TIME AVAILABILITY.

Once you have identified the goals and objectives for your department you are able to break it down even further by identifying performance objectives and goals for specific teams and individuals within your division.

You would need to consider the following aspects:

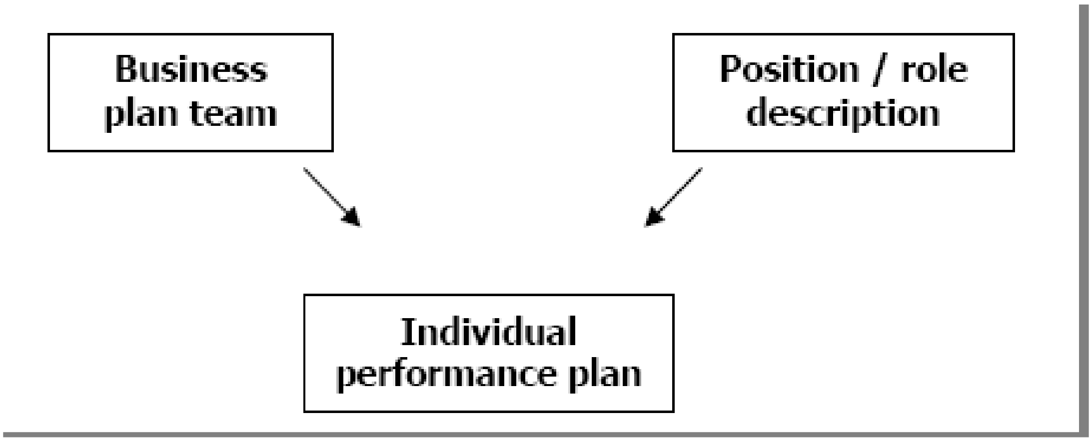
- Job roles and responsibilities for which teams and individuals were appointed
- The level of expertise of individual team members
- The level of competence of individual team members
- The time availability of team members

In order to allocate the goals and objectives, the manager can draw a organigram of his/her direct reporting department and then map out which goals and objectives are to be achieved by which teams and individual team members. This will assist to ensure that team members function on their correct level and that objectives are well spread amongst team members.

This process must be brought down another level by identifying KRA's for each team and individual, as well as performance objectives and goals relevant to the achievement of that KRA, based on individual levels of expertise, competence and time availability.

There are two fundamental tools for managing the performance of individual staff:

- The individual's role/position description
- The business/team/division's plan – this tells the manager exactly what performance needs to be achieved.



2.1 The Individual's Role/Position Description

The first step in the performance management process for a staff member is to identify the roles they have been employed to perform and the skills they possess to fulfil these roles. These details are contained in the 'job description'.

2.2 The Business/Team/Department Plan

Once you have determined the role the person is required to play and are clear about their skills and experience level, you are in a position to match these with the performance requirements of your team / department / business. On the basis of the relevant business / team or department performance plan, note the key performance requirements of the persons you are considering. These requirements are determined by the role they play in achieving the department/team objectives.

2.3 The Individual Performance Plan

The individual performance plan contains the details of the work the person will be doing over the next 12 months.

3. THE PERFORMANCE MANAGEMENT CYCLE

The performance management cycle consists out of three phases and normally runs over a period of one year before it starts again.

Phase 1: Performance planning and contracting

A good time for this phase is January/February of each year. Organisations can however change timing according to their needs and seasonal production cycles.

This phase consists of a formal planning and contracting discussion between a staff member and his/her direct manager/supervisor. During this phase it must be established which Key Result Areas (KRA's) are applicable to the individual employee and performance and development objectives for each KRA must be contracted. Both parties must understand exactly what is expected and formally contract by signing a performance and development agreement.

This is a very important phase. The performance and development of every single employee will be affected on an annual basis by the details agreed to during this discussion. Eventually every employee will be rated according to his/her performance in accordance with his/her individual performance plan. Most importantly the appropriate KRA's must be identified for each individual. KRA's must cover the complete spectrum of an individual's functions and responsibilities. Similar positions will therefore have similar KRA's. The next step will be to set SMART objectives for every KRA.

Remember the acronym from before in this Learning Unit?

◆ Specific ◆ Measurable◆ Achievable ◆ Realistic, and ◆ Time Specific.

Phase 2: Interim review

June/July is a good time for the interim review.
Approximately midway between the planning phase and the final review (and appraisal) the manager/supervisor must conduct a formal feedback meeting with the employee. This is known as an interim review. Although it is crucial that employees receive ongoing feedback as soon as possible after the event to which the feedback pertains, it is still important to have a formal interim review. This review will allow both parties to formally assess and discuss specific progress measured against objectives set during the planning phase. Employees who are experiencing problems in achieving certain objectives could then discuss these problems with their manager and they can reach a common understanding of the problems and develop new plans of action. The formal nature of the interim review also renews the commitment of both parties and ensures that responsibilities and objectives are reviewed. It is also important to ascertain whether these objectives are still relevant or not, especially when changes in company strategy and direction have occurred. It is important that objectives should not be ‘cast in stone’. Changes in conditions and situations might necessitate a

change in the nature or priority of previously set objectives. During the interim review both parties can agree on changes or additions to previously set objectives and enter into a changed contract.

During the interim review managers should adopt a corrective approach and not a punitive approach. If an employee is not reaching his/her objectives an action plan must be developed to correct and/or improve performance. It must also be established why an employee is not reaching objectives and these problems must be addressed. Counselling, coaching and motivation might also be appropriate corrective measures.

Finally, it is also advisable to do an informal rating during the interim review to ensure that both parties know exactly where they stand. This will ensure that no surprises and disappointment occurs during the final review stage, since this can be damaging to the entire process.

Phase 3: Final review and appraisal

The final review usually takes place in November/December.
Many people approach the appraisal with fear and anxiety. Managers are sometimes seen to unfairly pass judgement on the personal worth of their staff. It is therefore important that the employee is seen as an active agent in determining objectives as well as in the evaluation of performance. This will ensure the employee's commitment and buy-in to the process. Employees are often able to make valuable contributions in planning and evaluating their own performance as well as their development, because they know their own potential and limitations.

The final review and appraisal should summarise an individual employee's performance and development during the year. Whilst the process is similar to that which occurs during the interim review, it is during the third stage that individuals are rated in terms of whether or not they have met their objectives as agreed and contracted. Various rating scales can be used to rate individual performance.

Ideally an appraisal interview should hold no surprises to the employee. To achieve this objective the evaluation should consider objectives and not personality traits; the criteria should be performance-related, and the standards must be clear from the beginning. The organisation must remember that appraisal interviews constitute only one phase of an effective Performance and Development Management process. If the employee has been receiving coaching, counselling and feedback regularly, then he/she should know how well he/she has performed during the period under review.

Therefore, except in the case of a failing employee, the discussion should not be significantly stressful. In fact, employees who have been performing well should look forward to the evaluation as a confirmation of good results achieved.

4. DEVELOPING A PERFORMANCE AGREEMENT FOR INDIVIDUAL STAFF

The individual performance plan is the basis for the performance agreement. The content of this plan is used to construct one component of the performance agreement. Also remember that the performance management process for individual staff forms part of the total performance management process (strategic, department, individual).

The performance agreement contains the following components:

- **A statement of performance results.** Also called Key Result Areas (KRA's). These are the major outcomes the staff member is expected to achieve over a period of 12 months.
- **Manager's support.** This requires the supervisor to specify how he/she will assist the staff member to achieve the performance results.
- **Learning and development plan.** This specifies how the staff member will develop the skills required to achieve the performance results and to advance their personal career.
- **Performance evaluation.** This includes the rating that represents the extent to which the staff member has achieved their performance results.
- **Career plan.** An explanation of how this year's performance and development relates to the overall career objectives of the individual.

4.1 Guidelines for Completing a Performance Agreement

The process for establishing the performance agreement with staff is as important as the performance agreement itself. If staff feels aggrieved by the process they are unlikely to be motivated to achieve the targets set.

4.2 Preparing For Conducting a Performance Planning Discussion

a. The following steps must be taken before the discussion:

- Review any existing individual performance agreement. Note what has and what has not been achieved.
- Set aside at least one uninterrupted hour for the performance planning and agreement meeting.
- Review the relevant business/department/team plan so that you are familiar with the key outputs required by the business relevant to the work you do.
- Consider any issues that might arise during the meeting so that you will be fully prepared for any event.
- Think about how you will create a positive atmosphere in the meeting (by not being defensive, demonstrating that you have some good ideas, listening to the other person carefully, asking for clarification when necessary, and so on).

b. The following steps should be taken during the discussion:

- When the meeting starts make sure that both you and the staff member have all the materials you need, including previous performance agreements, business/department/team plan and preparatory notes.
- The manager/supervisor has to play a lead role in facilitating this meeting but should not dominate the discussion. Always ask the staff member for his/her views rather than giving a solution before he/she had an opportunity to participate in the discussion. The manager and staff member should each be speaking for around 50% of the time.
- The manager/supervisor should set the performance context for the staff member. Discuss the priorities of the business as a whole and the department or team to which the staff member belongs.
- Stick to the facts. Do not let personality differences get in the way of a productive meeting.

4.3 Completing the Individual Performance Agreement Form

Section 1: Personal details and performance evaluation record

- You need a new form for each annual individual performance agreement.
- You should complete all the details in the first section.
- Refer to the performance evaluation definitions when completing the form.

Section 2: Performance planning

- The key to completing this section of the performance agreement form is for the manager and staff member to agree on the Key Performance Areas and the major goals and objectives the staff member needs to undertake in the following 12 months.
- Do not try to capture all the results the staff member must achieve. The idea is to capture the most important ones only. Use the 80/20 principle.
- Be specific in the descriptions you use. Each performance result must be measurable. Measurable can include the number of outputs/services expected, the quality of results and timeline targets.
- If the role of the staff member is administrative or supportive in nature, they should be viewed as servicing internal customers. The performance results should contain the most important contributions that the person makes in servicing the internal customer.
- Copies of the relevant business plan, team plans and staff member's job description will be useful when completing this section.

4.4 Formulate Specific, Measurable And Achievable Objectives For Each Individual.

Step 1:

Start by identifying the **Key Result Areas**. Please note that these must be outcomes/results based. Group specific tasks together in bigger categories. For example: In the case of a Secretary, filing, typing, answering the telephone, taking messages, managing diary etc. can all be grouped together as 'Administrative support'. A further example of Key result areas being broken down into individual goals is given below. Please note that the purpose of this example is not to give a full list of goals per job, but only as example to start off with:

WAREHOUSE SUPERVISOR

- Manage staff
- Manage stock levels within parameters
- Manage departmental budget within parameters

STORE MAN

- Actual stock vs. book stock within parameters
- Item days out of stock
- Value of stock on hand

DISPATCH SUPERVISOR

- Average load per truck
- Time lapse between order and delivery
- Number of incorrect deliveries

TRUCK DRIVER

- Fuel cost per km
- Repair cost per km
- Tire life
- Distance per hour
- Stock loss through transportation

Depending on their level, an individual staff member should have no more than 3-7 KRA's. Make sure that all job functions and responsibilities are covered under the agreed KRA's.

Example:

Key Result Areas	Performance / Development Objectives	Performance Indicators	Time Frames / Monitoring
KRA 1: ...	1.		
	2.		
	3.		
KRA 2: ...	1.		
	2.		
	3.		
KRA 3: ...	1.		
	2.		
	3.		

Step 2:

The next step is to formulate performance objectives that will lead to the achievement of the agreed KRA's. For each KRA you could potentially have between 3 and 8 performance objectives. Remember to set **SMART** objectives!

S = Specific: What is the exact scope of the objective?

What is included and what is not?

What might be thought to be included but is being done by someone else?

What must be done with the outputs?

M = Measurable: What measures will be used to know that the objective has truly been reached?

When and how often will the process be measured?

What measurement tools can be used to determine success?

What format must the output take?

A = Achievable: Is the objective feasible?

If not feasible, are we willing to change to make it feasible?

R = Realistic: Is the task realistic given the level and skills of the individual?

Have you considered all variables when setting timelines?

T = Time bound: Have you set a timeline for all objectives that all involved agreed with?

4.5 Ensure that All the Critical Areas of Performance are covered by the Identified Goals and Objectives.

You should:

- Make sure that you have covered all areas of responsibility mentioned in the staff member's job description.
- Make sure that all day-to-day responsibilities, which are not indicated on the job description, are also covered. You can ask the staff member to run you through a typical week in order for you to get a good idea of all the job responsibilities and functions.
- Ensure that all the departmental goals and objectives are covered.

Individual Formative Exercise 6A: Departmental Key Result Areas

Individual Formative Exercise 6B: Team Goals and Objectives

Learning Unit 2
Obtaining Commitment

Unit Standard	
252034	**Monitor and evaluate team members against performance standards**
Specific Outcomes	
SO1: Formulate performance standards for team members in unit	
Learning Outcomes	

At the end of this unit you will be able to demonstrate an understanding of:

- Consult and agree on performance standards with individuals and teams.
- Ensure that agreed goals and objectives are clear and concise, that they specify the activities to be performed, and the standard to which they are to be performed.
- Contract and establish a performance monitoring process with the individual and/or teams.

Critical Cross-field Outcomes

▪ Identify & solve problems	▪ Collect, organise and critically evaluate
▪ Work as member of a team	▪ Communicate effectively
▪ Organise and manage	▪ Understand the world as integrated set

CONSULT AND AGREE ON PERFORMANCE STANDARDS WITH INDIVIDUALS AND TEAMS.

The purpose of this discussion is to agree on goals and objectives and tracking methods. This is especially important because it sets a positive tone while you gain the person's commitment to performance levels and participation in the process. People are most committed to achieving individual and departmental objectives when they play an active role in setting them and carrying them out. To prepare them for involvement and to ensure their commitment, it is essential that they:

- Understand their role in the process.
- See how their KRA's and objectives are based on departmental and organisational goals and objectives.
- Receive coaching from their manager/supervisor when they develop their KRA's and objectives.
- Understand that they are responsible for tracking their own performance and choosing informative and reliable tracking methods.

The success of the reaching agreement discussion depends on how well the manager and staff member prepare. Preparation gives both parties an opportunity to focus on the levels of performance in goals and objectives that is important. It sets the stage for mutual involvement throughout the ensuing performance cycle.

Preparation for such a meeting should include the following aspects:

- Ask the staff member to identify tentative goals and objectives and tracking methods before coming to the discussion. By now you should have discussed the individuals' role in the process and have coached the person so that he/she understands the role well enough to identify tentative goals and objectives.
- As the manager/supervisor you should develop tentative goals and objectives for the person's job as well.
- Decide ahead of time how to respond if the person resists challenging, yet achievable, objectives, and regular tracking of performance.

- Select a meeting place that is private and free from interruption. By avoiding interruption, you are showing that you take the individual and the performance discussion seriously.

- Schedule enough time for open and frank discussion. You don't want to rush this discussion. You want to have enough time to listen to the person's concerns and identify goals and objectives that are acceptable to both parties.

1. ENSURE THAT AGREED GOALS AND OBJECTIVES ARE CLEAR AND CONCISE, THAT THEY SPECIFY THE ACTIVITIES TO BE PERFORMED AND THE STANDARD TO WHICH THEY ARE TO BE PERFORMED.

Discussing and reaching agreement on both performance and development objectives should be done according to the following procedure:

2.1 Open the Discussion:

State the purpose and importance of this discussion and keep the following in mind:

- Welcome the staff member to this very important discussion and make them feel at ease. You could offer them something to drink or ask about their personal lives.

- Indicate that the purpose of this discussion is to agree on clear and concise Key Result Areas as well as goals and objectives that will support departmental and organisational objectives for the coming performance cycle.

- You will also have to decide and agree on performance indicators and time frames or monitoring frequency for each objective.

- Indicate that you will spend equal time on developing performance objectives and development objectives and that a similar process will be followed for both.

- Emphasise that the staff member's involvement is critical throughout the discussion and that it will enhance their self-esteem.

- Let the staff member know what is in it for them. How is performance linked to reward, bonus, promotion opportunity, development of skills, etc?

2.2 Clarify the Processes and Procedures to be followed During the Discussion Regarding Agreement on Performance and Development Objectives:

Review the format of the process and keep the following aspects in mind:

- The manager/supervisor should briefly explain the process, which include agreeing on KRA's and related goals and objectives as well as reaching agreement on performance indicators and time frame/monitoring frequency.
- Indicate that performance and development will be handled separately although they are of equal importance. You will handle development directly after performance.
- Continue to emphasise the importance of active participation as this maintains self-esteem and helps to build trust and commitment.

2.3 Discuss and Agree on the Performance and Development Objectives.

Identify levels of performance for each performance and development objective. Be mindful of the following aspects:

- Start by clearly stating the KRA and the relevant objective. This is a good opportunity to share your opinion on the importance of the objective and its impact on the department/organisation’s success.
- Both parties should enter the discussion with tentative levels of performance objectives in mind. It is important to listen carefully to each other.
- Set two to four achievable but stretching objectives for each KRA.
- Reduce concerns the staff member might have, about setting targets too high, by referring to past performance that was at or near that level of performance.
- By providing information about the person’s skills you can show your confidence in their ability to achieve the desired level of performance.
- If the person seems unsure, listen and respond with empathy to show that you understand and care. This response will help reduce resistance.
- Share relevant background information and rationale to clarify why the objective is important.

- Continue to check for understanding so that there are no questions about the level of performance agreed to for each objective.

2.4 Determine Resource Requirements and Stay Aware of the Following:

- The staff member might not have all the necessary skills, knowledge and experience to achieve the set objectives.
- Ask the staff member what support they would need. Being close to the job the staff member probably knows best what resources or assistance they would need to reach an objective.
- Indicate to the staff member how you could assist them in removing barriers or providing counselling, coaching, training, etc.

2.5 Confirm Monitoring Method, Time Frames and Frequency of Monitoring. Be Mindful of the Following:

- Because the staff member is responsible for achieving objectives, she should identify monitoring methods, time frames and frequency of monitoring for each objective and assume most of the responsibility for monitoring.
- The methods chosen should be convenient, appropriate and based on existing monitoring methods where possible. If monitoring takes too much time and there are too much administration involved, it will be ineffective.
- Set follow-up dates for monitoring on actions the two of you agreed to take.

1.6 Close the Discussion:

a. Summarise the discussion:

- A great deal has been covered during this discussion; it is therefore important to summarise the actions you have agreed to take.
- You might ask the individual to recap while you check your notes to be sure that you both agree.

b. Express confidence:

- This will boost the individual's confidence in his abilities to achieve the set objectives throughout the ensuing performance cycle.
- This will also help to build self-esteem and end the discussion on a positive note.

2. CONTRACT AND ESTABLISH A PERFORMANCE MONITORING PROCESS WITH THE INDIVIDUAL AND/OR TEAM.

For performance to improve, it must be measured. Two different aspects of performance can be measured:

- Production aspects – like workflow, methods, cost, procedures, results, etc.
- People aspects – like perceptions, attitudes, relationships, teamwork, etc.

The following monitoring methods can be used:

- Personal observation and inspection
- Direct reporting from staff
- Feedback from supervisors, subordinates and customers
- Agreed performance indicators
- Outputs

To successfully monitor performance and development progress you need to establish performance indicators and time frames / monitoring frequency.

3. PERFORMANCE INDICATORS

There are various documents that can serve as sources of information when performance must be evaluated.

Activity 1

Below are a few examples of performance indicators. Study this table and give examples of a specific job where you would use this indicator:

Performance Indicator	**Typical task for which this performance indicator can be used**
Verbal feedback	
Inspection	
Efficiency Demonstration	
Critical Incident	
Progress report	
Statistics	
Lists	
Print outs	
Sales figures	
Financials	
Comebacks	
Complements/Complaints	
Surveys	
Customer feedback	
Certificate of attendance	
Certificate of competence	
Test results	
Diploma/Degree	

TIME FRAMES / MONITORING FREQUENCY

Below are a few examples of time frames and monitoring frequency.

Activity 2

Give examples of jobs that will be monitored to the following time frames:

Timeframe	Which jobs would typically use this time frame?
Daily	
Weekly	
Monthly	
Quarterly	
Bi-annually	
Annually	
Before the end of the year	
By a set date	
Before the next review	
Within 4 months	
Within 3 years	

4. REACHING AGREEMENT CAN SOMETIMES BE DIFFICULT

In reality, not all reaching agreement discussions run smoothly, no matter how well people understand the process or how much they prepare for this discussion. Listed below are some suggestions for handling typical problems you might encounter.

If a staff member seems reluctant to participate, encourage involvement by:

- Recognising the importance of their input.
- Asking open-ended questions.

When a staff member is reluctant to offer tentative objectives:

- Emphasise the importance of their contributions.
- Recognise fears or reluctance.

If a staff member focuses too much on what will happen if they can't reach their objectives:

- Listen and respond with empathy.
- Recognise their ability and past good performance.
- Express confidence.
- Focus on positive aspects.

If a staff member believes an objective is not within their influence:

- Listen and respond with empathy.
- Ask open-ended questions to help the person identify why the objective is important to the job and what they can do to reach it.

If a staff member seems reluctant to participate, encourage involvement by:

- Recognising the importance of their input.
- Asking open-ended questions.

If a staff member suggests a level of performance that is too high or too low:

- Ask why they suggested this level and if they think it's reasonable.
- Offer reasons why you feel that the level is too high or too low.

- Recommend a more appropriate level and ask for their reaction.
- Identify resources or assistance needed to achieve this level.

When a staff member asks for unreasonable resources (money, people, time):

- Explain why the request is inappropriate.
- Ask for other suggestions.
- Suggest some alternatives if needed.
- Reinforce their suggestions and provide support.

Group Formative Exercise 7: Role Play – Performance Contract Discussion

If a staff member agrees to everything without question or commitment:

- Continue to encourage involvement by using open-ended questions to clarify issues, identify resources or assistance needed and develop an action plan for achieving objectives.

Learning Unit 3

Monitor Performance

Unit Standard	
252034	**Monitor and evaluate team against performance standards**
Specific Outcomes	
SO2: Establish systems for monitoring performance	
Learning Outcomes	

At the end of this unit you will be able to demonstrate an understanding of:

- Monitor individual and team outputs and behaviours continuously against the standards.
- Regularly provide and record feedback to the individual and/or the team on progress or lack thereof.
- Handle and record unsatisfactory performance and inappropriate behaviour in accordance with organisational policies and procedures.

Critical Cross-field Outcomes

▪ Identify & solve problems	▪ Collect, organise and critically evaluate
▪ Work as member of a team	▪ Communicate effectively
▪ Organise and manage	▪ Understand the world as integrated set

MONITOR INDIVIDUAL AND TEAM OUTPUTS AND BEHAVIOURS CONTINUOUSLY AGAINST THE STANDARDS.

DEFINITION

Monitoring can be defined as setting up ongoing procedures to collect and review information and performance with a view to manage an organisation or ongoing activities within it.

One of the important concepts in a performance and development management process is the concept of continuous monitoring and measuring of individual, team and organisation performance. For performance to improve it is necessary that it be monitored and measured. Monitoring ensures, amongst other things, that products and services are delivered according to company standards, in acceptable quantities, at acceptable levels of quality, at agreed times and within budget and per customer requirement. Things that should be monitored are both production aspects like workflow, methods, procedures, cost and results and people aspects like perceptions, attitudes, relationships, co-operation and teamwork. There are different means of monitoring as discussed earlier.

They are:

- Personal observation and personal inspection
- Direct reporting by the staff members themselves
- Feedback from superiors, peers, subordinates and customers
- Agreed performance and development indicators
- Outputs and results

Making it more practical, Performance Monitoring Systems can include:

Verbal feedback, Inspection, Efficiency Demonstration, Critical Incident, Progress report, Statistics, Lists,

Print outs, Sales figures, Financials, Comebacks, Complements/Complaints, Surveys, Customer feedback,

Certificate of attendance, Certificate of competence, Test results, Diploma/Degree

Key actions that need to be performed are:

- Identify monitoring needs. Determine which processes or areas need to be monitored; identify what information needs to be obtained.
- Develop monitoring systems. Establish systems to monitor activities or outputs that are easy to use and that provide timely and pertinent information.
- Implement monitoring systems. Effectively put in place monitoring systems with minimal interruption for other organisational processes.
- Review data. Collect and review data on a regular basis to determine progress, anticipate needs and make necessary adjustments to personnel or processes.

1. REGULARLY PROVIDE AND RECORD FEEDBACK TO THE INDIVIDUAL AND/OR THE TEAM ON PROGRESS OR LACK THEREOF.

DEFINITION

Feedback is the process according to which you receive information from the external environment on both the positive and negative aspects of your performance.

Feedback provides an answer to the question “How am I doing?"

Another important aspect of performance and development management is the aspect of giving and receiving feedback.

Once people agree to achieve certain goals and objectives, they need to know how well they are doing.

Constructive feedback on performance is important because it encourages and motivates employees to perform at acceptable standards. It also helps correct mistakes and solves problems; it builds relationships between people, saves money and provides direction. People participating in a performance management process, both managers/supervisors and staff members, need to know how to provide constructive feedback to fellow employees as well as how to receive feedback in such a manner that it will have a positive effect on performance. Open and direct criticism provides the opportunity to clear misunderstandings and correct wrong perceptions and behaviour.

Key actions that need to be performed are:

- Be honest but maintain the person's self-esteem by providing balanced feedback. Begin and end with a positive statement. People are more receptive to corrective feedback when it is mixed with positive comments.

- Be specific about what was said or done and state why it was effective or ineffective. Give examples of how the situation could have been handled more effectively.

- Offer alternatives. If you are giving feedback for improvement, tell the person what he or she could have said or done differently; your perspective will be helpful. Your feedback has more value and credibility when you show that you have thought of other ways to deal with the situation.

NOTE: Because employees monitor their own performance in this process, they receive much of their feedback directly, using monitoring methods established during the planning phase. As a result, they can take action whenever necessary to stay on target towards these objectives.

In addition to data from own monitoring sources, staff members also depend on managers/supervisors for information. When they perform effectively or need to improve, you need to tell them and provide specific feedback on what they did well and what they did not do so well. Your feedback is important. It helps determine whether individuals meet objectives. For best results, your feedback should be timely, balanced and specific.

a. Timely Feedback

Provide feedback as soon as possible after the incident occurs. Feedback today on something that happened this morning means much more than feedback tomorrow or the following week. The incident is still fresh in the person's mind, so feedback will be more meaningful.

b. Balanced Feedback

Mix positive and constructive comments throughout the discussion where possible. Too much negative feedback might make people defensive and unwilling to communicate. If you recognise all the good performance in the beginning and leave the corrective feedback for the end, a person might feel 'set up'. Disappointment and resentment might then replace any feeling of satisfaction. After giving corrective feedback, end the discussion with a plan for improving performance. Work closely with the staff member on the plan. The more the individual contributes to it, the more committed he/she will be to carry it out.

c. Specific Feedback

A vague comment, like "You could have done a better job on that report", does not identify the problem. It does not indicate what was wrong and how to improve. It is not the type of feedback that will help someone achieve his or her objectives. Along the same lines, general praise like "You have done a good job on that report", also does not specify what the individual did well and should continue doing. Specific feedback explains what the individual did and why it was effective or ineffective.

2.4 Feedback Checklist

The feedback giver must:	Y/N
Make use of the different types of feedback such as • Constructive positive feedback • Constructive negative feedback	
Determine the reasons for poor performance. Were these reasons discussed with the feedback receiver as part of ongoing development?	
Use problem-solving techniques in order to counsel the feedback receiver on future steps to be taken.	
Ensure that the feedback session take place in a relaxed and open atmosphere.	
Ensure that the feedback is a two-way process.	
Ensure that the feedback provided is in both oral and written format.	
Provide guidance in terms of future development.	
The feedback receiver must:	
Listen attentively.	
Not react defensively.	
Rephrase statements and ask questions to show understanding of the feedback.	
Make suggestions to future development.	

2. HANDLE AND RECORD UNSATISFACTORY PERFORMANCE AND INAPPROPRIATE BEHAVIOUR IN ACCORDANCE WITH THE ORGANISATIONAL POLICIES AND PROCEDURES

If an employee displays unsatisfactory performance or inappropriate behaviour, the normal performance management process, which is aimed at maximising performance, needs to change direction to focus on correcting performance or behaviour. This process needs to be much more controlled and disciplined as it could potentially lead to disciplinary action and even dismissal for incapacity (poor work performance).

It is advised that you follow your organisation's policies and procedures in this regard.

The organisation's disciplinary code and procedure needs to be aligned with the Labour Relations Act, 66 or 1995, as amended.

3.1 Discipline in the Workplace

The main purpose of discipline in the workplace is:

- The maintenance of work standards.
- The maintenance of appropriate standards of conduct.
- Ensuring consistent, fair treatment of all employees.
- The provision of corrective coaching where standards are not met.
- To formally express dissatisfaction for breaches of discipline.

3.2 Principles Underlying Discipline

- One of the most important aspects in the management of an employee is the awareness and setting of standards.

- Managers are the custodians of the company's rules and standards and should endeavour to lead by example, ensuring that their integrity and conduct is beyond reproach at all times.

- Managers also have the responsibility for the maintenance of good order, harmonious relationships and discipline in the workplace.

- Disciplinary action is aimed at correcting behaviour or conduct, with the exception of serious and deliberate breaches that warrant dismissal.

3.3 A Positive Corrective Approach to Discipline Includes:

- Clear communication and setting of standards.

- Firmness and consistency.

- Promptness in dealing with breach of standards.

- Fairness to prevail at all times.

- Each case to be treated on its own merits.

- Personal feelings towards an employee should not influence the process and managers must focus on the problem at hand and not the employee personally.

- Management's ability to take disciplinary action could be undermined if disciplinary action is not processed, as staff could see this as condonement.
- A sanction may not be predetermined and will be unfair. Each case should be treated on its own merits, also taking cognisance of past practices and future precedents, as well as mitigating circumstances.

Individual Formative Exercise 8: Performance Monitoring

Learning Unit 4

Plan and Conduct the Performance Review

Unit Standard	
252034	**Monitor and evaluate team members against performance standards**

Specific Outcomes

SO3: Prepare for the performance review of a team member

SO4: Conduct the performance review interview

Learning Outcomes

At the end of this unit you will be able to demonstrate an understanding of:

- Review all performance related documentation and information identify positive and negative achievements and formulate constructive criticism.
- Prepare documentation to be used during the interview and ensure that copies are available to the staff member or team.
- Reach agreement with individuals/team on interview agenda, process, venue and timing.
- Review actual performance against agreed upon objectives, goals and standards.
- Provide feedback to address competence gaps and poor performance, recognise good performance and revise performance goals.
- Agree on action plan to further improve performance.
- Ensure that all relevant documentation is completed and signed according to the organisation's policies and procedures.

Critical Cross-field Outcomes

▪ Identify & solve problems	▪ Collect, organise and critically evaluate
▪ Work as member of a team	▪ Communicate effectively
▪ Organise and manage	▪ Understand the world as integrated set

1. REVIEW ALL PERFORMANCE RELATED DOCUMENTATION AND INFORMATION, IDENTIFY POSITIVE AND NEGATIVE ACHIEVEMENTS AND FORMULATE CONSTRUCTIVE CRITICISM.

Preparation is the key to an efficient and effective performance evaluation meeting.

Without preparation the process will be slow and frustrating for both the staff member and the manager/supervisor. Good preparation ensures that both parties thought through any potential difficulties and have followed a reliable process that is both fair and objective. As manager / supervisor you should spend at least one hour doing preparation in this way.

Both manager and staff member should review the performance planning and agreement document in preparation to the performance appraisal. Follow the following procedure when preparing for a performance appraisal:

- Review the relevant business and team performance plan.
- Take note of individual goals and objectives that was agreed upon.
- Place emphasis on both performance and development objectives.
- Have the objectives been achieved or not and to what extent?
- Identify negative achievements and identify possible reasons why goals and objectives were not achieved.
- Identify positive achievements and identify possible reasons why goals and objectives were achieved.
- Identify gaps and possible reasons for these gaps.
- Formulate constructive criticism in advance, focusing on both good and poor performance.
- Plan ways in which you will maintain and enhance self-esteem throughout the discussion.

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- Think about how to create a positive atmosphere in the meeting (by not being defensive, demonstrating good ideas, listening to the other person carefully, maintain self-esteem, asking for clarification, etc).

2. PREPARE DOCUMENTATION TO BE USED DURING THE INTERVIEW AND ENSURE THAT COPIES ARE AVAILABLE TO THE STAFF MEMBER OR TEAM.

Distribute copies of performance planning and agreement documentation as well as any review documentation at least two weeks before the actual performance review.

You would need the following documentation for a performance review:

- The staff member's personnel and work record.
- Development or career planning file, if available.
- Original copy of performance planning and agreement documentation.
- Any previous performance review documentation applicable to this performance cycle.
- Any new documentation required for performance appraisal.

NOTE: It is a good idea to personalise performance appraisal documentation by using original copies (not photocopies) with the staff member's name and details printed on it.

3. REACH AGREEMENT WITH THE INDIVIDUAL/TEAM ON INTERVIEW AGENDA, PROCESS, VENUE AND TIMING.

To ensure buy-in to the process, agree with the individual / team on the agenda, the process to be followed and the venue and timing of the meeting.

You could potentially arrange an informal meeting to discuss and agree the abovementioned logistical matters. Study the table below:

a. **Agenda:** Put together an agenda that will provide opportunity for both parties to take part in the process on an equal basis. Also ensure that equal emphasis is placed on both performance and development. Allow staff to put forward suggestions for items to be included.

b. **Process:** Briefly go through the performance management process and purpose to ensure understanding and ensure that everybody is comfortable with the process. Allow for questions and clarification of uncertainties.

c. **Venue:** The venues should be a confidential, non-threatening and neutral place in which both parties can interact on an equal footing. A round table with comfortable meeting chairs is ideal. The line manager's office is a definite no-no. Ensure that the venue will be interruption free. There should definitely not be a telephone in the venue. You can also put a note on the door to ensure that people do not interrupt.

d. **Timing:** Agree on a time that would suite both parties. Set aside an uninterrupted hour for this meeting. Early morning, when everybody is fresh, is better than late afternoon after a long and challenging day. It is also less stressful to have the review over and done with as soon as possible. Do not arrange more than 2/3 performance reviews per day. Performance reviews are emotionally draining, and you need to give every staff member your full attention.

4. REVIEW ACTUAL PERFORMANCE AGAINST AGREED UPON OBJECTIVES, GOALS AND STANDARDS.

Throughout the performance cycle, employees have been managing their own performance, from setting and monitoring performance and development objectives, to regularly reviewing progress with you. Consequently, review discussions should hold no surprises. This session should simply summarise past discussions, while the major focus is on continued development and future success.

It is important that the atmosphere in performance review meetings is positive and that both parties treat each other as equals. Make the other party feel at ease.

Remember that they are entering this meeting with feelings of uneasiness, fear, trepidation and even hostility.

The manager/supervisor's role in this meeting is to ensure that the organisation's performance requirements will be achieved through the actions of the individual staff members they manage. This means the outputs identified as the business plan, and team/department plan, will be achieved through the aggregated individual performance of staff.

The formal performance review has three purposes:

- To review the performance of the staff member
- To review the performance of the manager in supporting the staff member (upward feedback)
- To evaluate the progress on a learning and development plan for the staff member

a. Before the review:

- Decide what rating you think should be awarded to the staff member and write down evidence to support this view. Make sure this rating can be justified in terms of the ratings you have given in the previous formal reviews (no-surprise principle).
- Think about how well you have performed in supporting the work of your staff member. Write down some specific examples of strong support and ideas about how to improve performance.
- Think about the job performance of the staff member over the past six months / year. What does this tell you about the things they are good at and the things they are not so good at? Does it point to any areas in which they need development?
- Consider each of the staff member's performance results and think about additional skills they might need to successfully achieve these. Write them down and suggest them at the review meeting.

b. During the review:

- The staff member may be very anxious about this meeting, so do not do anything to aggravate the situation (being flippant, too intense, late for the meeting and so on).
- To break the ice and get the staff member at ease you could offer them something to drink, ask about their personal life (family, hobbies, etc.) or ask them how they are doing lately.
- Begin the performance review by setting the context - provide an overview of the department and organisation's overall performance.
- Review the performance agreement by looking at Key Result Areas. Ask the staff member to tell you how they feel they have performed over the past six months / year, without going into too many details.

- Start the formal review by focussing on the performance objectives related to each KRA one-by-one.
- Ask the staff member to explain what rating they think they deserve for every KRA respectively and let them give reasons for this rating. Support them where you feel they are right and give examples of your own.
- If you think they have rated themselves too high or too low, tell them. Provide specific examples and give them plenty of opportunity to question your judgement and provide their own supporting evidence.
- Receiving feedback can be threatening to people. Do not become aggressive or defensive at the meeting. It this becomes to happen call 'time out'.
- Stick to the facts. Do not let personality differences get in the way of a productive meeting.
- Make sure you devote adequate time to discussing the learning and development action plan with the staff member. This meeting is not only a performance review.
- If there is a disagreement that you cannot resolve easily, follow the process established for reaching agreement.
- If you still cannot reach agreement, you may need to resort to the formal dispute resolution process.

5. PRACTICAL REVIEW PROCESS GUIDELINE

Open the discussion and do the following:

• State the purpose and importance of this review:

  ✦ Explain that the purpose of the meeting is for the two of you to compare the individual's actual performance in objectives with the agreed-upon performance standard.
  ✦ Emphasise that this discussion is a summary of the performance based on the information you have both been collecting over the past six months / year period.

- The staff member has been monitoring his/her performance throughout the cycle. Explain that the person's input is critical and that he/she has a lot to contribute to the discussion.
- Enhance self-esteem and encourage involvement.

• Clarify as you continue in the process.

• Compare actual versus agreed performance results:

- For each objective, discuss and agree how actual performance compares to the level agreed to.
- Recognise the person's achievements by referring to positive examples you have been collecting throughout the cycle.
- If performance falls short of the objective, focus on the facts, not the person, to maintain self-esteem and reduce defensiveness.

• Review successes and problems:

- When the staff member has met objectives effectively, ask her to illustrate the success by providing an example of performance. This technique enhances self-esteem and encourages continued or improved performance.
- Listen and respond with empathy when the person discusses successful performance.
- When the person has not met objectives, be sure to keep the discussion positive to maintain self-esteem.
- This is a future-orientated discussion so you want to uncover causes of the problem and discuss what can be done about it. It won't help just to rush details.
- Listen to the person's rationale and respond with empathy to show your concern and understanding.

- ✦ Whether discussing successes or problems, sharing your thoughts and feelings about the person's level of performance helps the individual understand its effect on departmental or organisational goals.

• Discuss and agree.

• Determine performance levels:

- ✦ You and the staff member should agree on ratings for objectives, which will be supported by the information you covered in the clarifying section.
- ✦ When rating, focus on performance, not the person. This approach maintains self-esteem, reduces defensiveness, and keeps the lines of communication open.
- ✦ If the person improved during the cycle but did not meet the objectives, reinforce the improved performance in that related objective. This approach enhances the person's self-esteem and encourages continued effective performance.
- ✦ The two parties might disagree on ratings. If this happens, answer any questions and discuss concerns. Be prepared to explain your reasoning and support your ratings with specific behavioural or result data.
- ✦ Listen empathically to the person's concerns, but avoid a debate. Instead, focus on opportunities for continuous improvement.
- ✦ Listening and responding with empathy also is important if the individual earns a high rating, it reinforces morale and motivation.

• Develop action plans and follow-up date(s), if necessary:

- ✦ At this point the two of you must agree on action plans to enhance successes or resolve problems.
- ✦ Discuss what the person should continue doing and what should be done differently.
- ✦ Seeking the person's ideas ensures commitment and building on and using those ideas as much a possible enhances self-esteem.
- ✦ The action plan on which the two of you agree might require obstacles or coaching the individual. Your role is to provide support when needed or to remove

organisational barriers. It is not up to you to resolve the situation that is the staff member's responsibility.

- ✦ When you discuss action plans, set follow-up dates to check for process and encourage continued communication.

• Close the discussion

• Summarise discussions:

- ✦ Because this discussion covers a variety of topics, it's important that you are both clear on the actions to which you have agreed.

- ✦ Ask the staff member to summarise or use your notes to recap each action and follow-up date.

• Express confidence:

- ✦ Ending the discussion with a sincere expression of confidence in the person's abilities reinforces the fact that this discussion is positive and future orientated.

6. PERFORMANCE ASSESSMENT LEVELS / RATING SCALES

Depending on the needs of your organisation, staff performance can be assessed on various scales (five-point, seven-point, ten-point, etc). For the purposes of this training we will be using a five-point scale for example purposes. Each point of the scale is associated with an explicit description of the relevant performance level.

Two options will be explored.

Option A:

Rating Key:

5 = MUCH MORE than acceptable performance / development

4 = MORE than acceptable performance / development

3 = ACCEPTABLE performance / development

2 = LESS than acceptable performance / development

1 = FAR LESS than acceptable performance / development

Option B:

Level 1:	Performance is below the requirements of the position	This rating is awarded when most performance objectives have not been achieved and there are no extenuating circumstances.	Staff rated a level 1 may have their next salary increase deferred or not recommended. If deferred, a review should occur within a stipulated time period.
Level 2:	Performance is effective in some, but not all areas	This rating is awarded when some performance objectives have not been achieved and there are no extenuating circumstances.	Staff rated at level 2 may have their next salary increase deferred or receive a below average increase. If the salary increase is deferred or not recommended, a review should occur within a stipulated time period.
Level 3:	Performance meets all requirements	This rating is awarded when the staff member has achieved all their performance objectives	Staff rated at level 3 should be entitled to their next salary increase.
Level 4:	Performance consistently meets and sometimes exceeds requirements	This rating is awarded when the staff member has achieved all their performance objectives and has gone beyond this in some cases.	Staff rated a level 4 should be entitled to their next salary increase and could receive an above average increase.
Level 5:	Performance consistently exceeds all requirements	This rating is awarded to the most outstanding staff. They have by far exceeded all of their performance objectives and are exemplary role models to all other staff.	Staff rated at level 5 should be entitled to an above average annual salary increase and could also be considered for incentive bonuses and/or promotions.

5. PROVIDE FEEDBACK TO ADDRESS COMPETENCE GAPS AND POOR PERFORMANCE, RECOGNISE GOOD PERFORMANCE AND REVISE PERFORMANCE GOALS.

Remember that addressing poor performance and recognising good performance is equally important.

When the performance is poor:

- Clearly establish competence gaps and poor performance.
- Explore possible reasons for the poor performance.
- Consider possible solutions and ways to remedy the situation.
- Consider possible training and development opportunities.

When the performance is good:

- Recognise good performance clearly.
- Explore possible reasons for good performance.
- Explore ways in which the good performance can be maintained and enhanced.
- Revise performance goals and objectives to ensure that they stay challenging and stretch the individual to perform even better.
- Consider development opportunities to develop skills further.

Ensure that feedback is factual, relevant, constructive, tactful, honest, respectful and focused on performance.

Feedback has certain characteristics. Feedback is:

a. Factual

Feedback should be based on facts, not on feelings or opinions. Use real life examples to clarify performance. Stay away from personality differences.

b. Relevant

Feedback should be relevant to the objective under discussion. Do not deviate to other incidents or other objectives. Feedback must be current. Address current performance, not past performance.

c. Constructive

Feedback should be constructive. It should be clear, concise and to the point, but focused on improvement. Feedback should identify the problem and focus on how to correct the problem.

d. Tactful

Feedback should be tactful. You want to maintain and enhance self-esteem, not break the person down.

e. Honest

Feedback should be honest. Do not hold things back or make them sound less serious than what they are to spare the person's feelings.

f. Respectful

Remember that the person sitting in front of you is a human being just like you.

The fact that they are not performing to acceptable levels does not mean they are less of a person.

g. Focused on performance

Focus your feedback on the performance and the behaviour not on the person.

Ensure that feedback is given in an atmosphere conducive to good working relationships and is given with sensitivity and empathy to maximise acceptance. Feedback should not be given in an open forum. Feedback should be confidential to the person receiving the feedback. Feedback should therefore be given behind closed doors where the person feel save and protected from embarrassment in front of peers and colleagues.

Also ensure that the manner in which you give feedback will not leave the person devastated and emotionally unable to perform. Handle the discussion with sensitivity and empathy in order to maintain and enhance self-esteem at all times. A feeling of uncomfortably between you and the staff member will make it even more difficult to reach the required levels of performance.

6. SEEK INFORMATION ON POSSIBLE REASONS FOR DEPARTURE FROM STANDARDS.

Individual performance needs to be analysed in order to optimise future performance.

It is not enough to just know that performance standards have not been met. Both you and the employee need to understand why performance standards have not been achieved. What are the underlying reasons? There might be a common denominator.

Analyse all the areas in which performance objectives were not met. Look for an underlying reason by exploring the matter with the staff member. You might find that the individual is lacking certain core competencies or skills. There might be health problems, family problems, motivation problems, etc. It is also possible that there might be a mismatch between the person and the job. To assist you, you could potentially also look at what makes other incumbents successful while this staff member does not perform, in order to establish the gap.

Make a list of all the possible reasons for departure from the standard. Is there a common underlying reason? What is the bottom line? Once you have analysed the performance thoroughly, you will be in a position to establish an action plan aimed at addressing the gaps.

7. REACH AGREEMENT ON FEEDBACK AND AGREE ON ACTION PLANS TO FURTHER IMPROVE PERFORMANCE.

As far possible, you and the staff member need to reach agreement on feedback given and received. Both parties need to accept the current reality and the underlying reasons for that reality, before one can move forward by developing an action plan.

Summarise the main points of feedback. Then develop an action plan to address all of these points. Some actions might have to be taken by the supervisor/manager and some by the individual. An action plan is specifically aimed at bringing performance to an acceptable level or standard.

The action plan could include: Training, Coaching, Counselling, Studying, Self-study, Reading, Mentoring, Observing, and Practice

8. ENSURE THAT ALL RELEVANT DOCUMENTATION IS COMPLETED AND SIGNED ACCORDING TO THE ORGANISATION'S POLICIES AND PROCEDURES.

Before you close the meeting ensure that all the relevant documentation is completed and signed off by both parties. Both the first and the last pages of the performance management document might require signatures from the manager and staff member.

It is also a good idea to ask the staff member to initial all other pages. Remember that this is a formal contract between you and the staff member. Terms and conditions of this contract can therefore not be changes unilaterally. It is therefore important to complete the performance management documentation in ink.

If you prefer, you can have the information neatly typed out after the meeting and then ask the staff member to sign the final document again. Provide a copy of the original documentation to the staff member to satisfy them that you have not made changes to the agreement unilaterally after the meeting.

Group Formative Exercise 9: Performance Review Discussion

Learning Unit 5

Take Remedial Action

Unit Standard	
252034	**Monitor and evaluate team members against performance standards**
Specific Outcomes	
SO 4 Conduct Performance Interview	
Learning Outcomes	

At the end of this unit you will be able to demonstrate an understanding of:

- Take remedial action to resolve resource deficiencies, such as in materials, equipment and tools.
- Reach agreement on remedial actions to be taken to bring behaviour and work outputs to required standards.
- Reach agreement on further remedial action to be taken if work or behaviour is still not to the required standards.
- Obtain and consider feedback from staff members

Critical Cross-field Outcomes

▪ Identify & solve problems	▪ Collect, organise and critically evaluate
▪ Work as member of a team	▪ Communicate effectively
▪ Organise and manage	▪ Understand the world as integrated set

1. TAKE REMEDIAL ACTION TO RESOLVE RESOURCE DEFICIENCIES, SUCH AS IN MATERIALS, EQUIPMENT AND TOOLS.

It is the supervisor/manager's role to ensure that employees have all the necessary resources to enable them to perform optimally in their job. An employee cannot be held responsible for poor performance if resources like materials, equipment and tools are detracting from work performance.

Once the performance management cycle has been completed you will have received a lot of information on resource deficiencies.

- Summarise feedback on resources deficiencies in a summary report.
- Identify what action you can take to resolve difficulties and remove barriers.
- Escalate issues that you cannot resolve to your manager and follow-up to ensure that action is taken.
- Give feedback to the staff member, indicating which issues you have personally taken responsibility to resolve and which issues you have escalated to a higher level.
- Provide feedback on an ongoing basis until all matters have been resolved in one way or another.

2. REACH AGREEMENT ON REMEDIAL ACTIONS TO BE TAKEN TO BRING BEHAVIOUR AND WORK OUTPUTS TO REQUIRED STANDARDS.

Once performance gaps have been identified and agreed upon, an action plan must be put in place to ensure that remedial action will be taken to bring behaviour and work outputs to required standards.

Consider the following procedure:

- Ensure that the action plan put together addresses all the areas that do not meet the performance standard.

- An action plan should be specific, clear and to the point. There should be no misunderstandings.
- Specific action that needs to be taken by the employee and supervisor/manager must be identified and both parties must be clear on their objectives.
- Establish follow-up dates to review performance on a regular basis.
- Acknowledge and celebrate successes. This will motivate the staff member and enhance self-esteem.
- Set a realistic deadline for remedial action. Both supervisor/manager and employee must work towards this deadline to achieve the required performance level.

3. REACH AGREEMENT ON FURTHER REMEDIAL ACTION TO BE TAKEN IF WORK OR BEHAVIOUR IS STILL NOT REACHING THE REQUIRED STANDARDS.

Once the deadline for remedial action has been reached, assess the situation formally.

If performance is still not at the required standard, more drastic steps will have to be implemented.

- Start a formal disciplinary process, which is independent from the action plan and performance counselling process.
- Make sure that meeting is thoroughly minuted and that you include observers.
- Ensure that the employee understand that a failure to meet performance objectives stated in the remedial action plan will lead to disciplinary action and possible dismissal for incapacity (poor performance).

4. OBTAIN AND CONSIDER FEEDBACK FROM STAFF MEMBERS.

It is important to obtain and consider feedback from staff members with regards to your skills as a performance management facilitator for three reasons:

- It gives staff members the opportunity to realise, that just like them, you also have performance and development objectives and targets. And that you value their input on the development and refinement of your own skills.

- It gives you the opportunity to get feedback on your skills as performance facilitator, to identify strengths and weakness and to improve and grow where necessary.

- It also provides you with the opportunity to assess the performance management system and make adjustments and improvements where necessary.

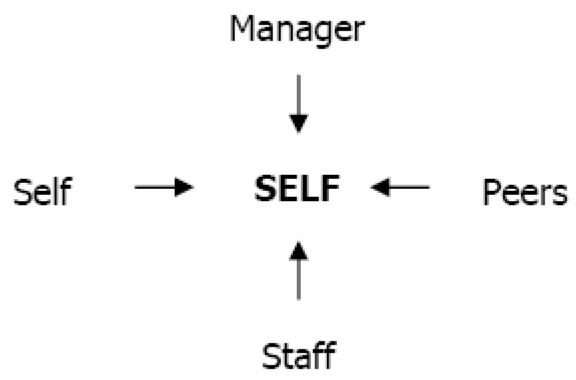
For the purposes of performance management, the performance of people at work can be divided into two components:

- Functional performance (e.g. Budget results, sales level, project completion)

- Behavioural performance (e.g. Leadership capability, reliability, communications skills)

For the purposes of performance management, we are only interested in behavioural performance. The 360-degree feedback process is therefore a powerful tool to implement within the performance management environment. It will give you the opportunity to look at your own performance as a performance management facilitator from all angles. The 360-degree feedback process can however only be used for behavioural aspects of performance. These are the ones everybody (self, peers, managers and staff) can see and comment on. (See annexure 1 for more details)

Only managers and people, who have staff reporting to them, can use the 360-degree feedback (90 degrees of feedback from each of 'self', 'staff', 'peers' and 'manager').



Summative Exercise S3

Group Formative Exercise 10: Remedial Action

Annexure I

WHAT IS THE 360 DEGREE FEEDBACK PROCESS?

The idea is to receive all round feedback on your skills as a performance management facilitator in order to identify the gaps and development areas. Once you know what your strengths and weaknesses are, you can identify and implement improvement methods.

The 360-degree feedback is basically a custom-made diagnostic questionnaire that addresses all the skills and behaviours necessary for successful facilitation of performance management. You need to receive feedback on how you handled the different aspects of the process and how effective your approach has been in order to develop and improve.

You can draw up a 360-degree feedback questionnaire in consultation with your peers and manager.

Questions should be directed at evaluating your skills in the following areas:

- Ability to communicate organisational vision and mission
- Ability to identify performance objectives and allocate them appropriately
- Ability to formulate SMART objectives
- Ability to consult and agree performance standards
- Ability to monitor individual and team outputs
- Ability to handle unsatisfactory performance and inappropriate behaviour
- Ability to formulate and agree action plans
- Ability to handle administration effectively
- Ability to take remedial action and resolve resource problems and barriers
- Ability to establish a trust relationship
- Ability to make staff member feel at ease
- Ability to ensure active participation from the staff member

- Ability to maintain and enhance self-esteem
- Ability to give and receive feedback
- Ability to provide constructive criticism
- Effectiveness of coaching skills
- Effectiveness of counselling skills
- Effectiveness of communication skills
- Effectiveness of problem-solving skills
- Effectiveness of conflict management skills
- Ability to motivate individuals and teams

Benefits of the 360 Degree Feedback:

- Asking for and receiving feedback can be very powerful from a circle of influence with direct knowledge of a person's work behaviours.
- Receiving feedback from many people offers a more honest, reliable and valid evaluation than traditional appraisals given from one person's perspective only.

A Balanced View

Feedback from only one source can be dismissed as being only one person's opinion. If a number of people say the same thing, it is harder to ignore. Equally, a personal opinion from one person can be balanced out by the collective view of others.

Leads to behavioural change:

An opinion from a number of different assessors is reliable evidence and is difficult to ignore. When faced with such evidence most people will choose to make changes to the way they work and behave. Subsequent feedback can tell them how they are improving. The evidence will also identify strengths that can be built on as a means of improving performance even further.

Overcomes resistance to feedback:

The 360-degree feedback overcomes resistance to feedback. Staff members are often reluctant to give honest feedback to their supervisor/manager due to fear that such feedback could be held against them. The anonymous nature of the 360 method overcomes this problem.

Increases understanding of expectations:

People often perform in ineffective ways because they either don't know what to do to be more effective or they fail to appreciate the effect of their behaviour on others. The 360-degree feedback is the ideal way to help them understand what staff expect from them and how their behaviour affect the people that report to them.

Leads to self-directed learning and development:

When faced with overwhelming evidence of a competency that needs to be developed, mature managers will immediately ask themselves what they can do to overcome this problem. Deep-seated and long-standing problems are often confronted in this way.

The self-directed learning and development that then happens is based on a real need rather than on an individual's self-perception.

Developing and Implementing a 360 Degree Feedback Tool

This process of developing and implementing a 360-degree feedback tool has the

following three steps:

1. Decide on the Purpose and the Use of the Information

Rating the performance of peers, managers or reporting staff is a highly sensitive process that can have an enormous impact on the performance and culture of the organisation and the performance and self-esteem of those being evaluated. One must therefore be very clear on why you want to do it and what you are going to use the information for.

2. Decide What Aspects of Performance are to be evaluated

Remember that 360-degree feedback can only be used for behavioural aspects of performance. Performance, based on job function, must be measured through a different system.

The first thing to decide is which elements of a person's behaviours should be incorporated into the 360-feedback process. The choice of behaviours to include in the process is often simple. Most organisations want to test how well their managers are behaving according to the values of the organisation.

So, they:

- Take their organisation's values.
- Describe the behaviours a manager should be displaying to represent those values.
- Insert those descriptions into the 360-feedback diagnostic.
- Distribute the diagnostic to the manager, a sample of their staff, a sample of their peers and their manager.
- Ask each person to rate the performance of the manager (on a five-point scale).
- Collate all the ratings and evaluate the performance of the manager on the results.
- Meet with the person that was assessed to discuss the feedback results.
- Develop action plans to address gaps and development areas.
- Use the 360 feedback again to assess improvement.

3. Use the Outcomes from the Feedback Process Wisely

The outcomes of the 360-feedback process can be used in many ways. A few examples are:

- Incorporating them into the performance objectives of each manager.
- Arrange training and development activities to support the required behaviours.

- Recruitment and selection procedures can be amended to appropriately reflect the behavioural requirements of potential new managers.

Potential Pitfalls of 360 Degree Feedback

The 360-feedback process has potential pitfalls:

a. Fear Giving or Receiving Feedback:

Some people do not feel safe giving feedback because negative feedback can affect working relationships. Some people do not like receiving feedback because it is to confront. To overcome these pitfalls people, need to feel safe giving and receiving feedback.

For those receiving feedback:

- They should choose whom to ask to complete questionnaires.
- The responses they receive should be confidential to them and their manager.
- They should be able to view the results and plan development activities at their own pace.

b. For those giving feedback:

- The feedback should be anonymous – there should be no way to link feedback to the identity of any individual person who completes the questionnaire.
- Feedback should be voluntary.

c. Questionnaire Too Rigid and Not Relevant to Job

This problem arises where standard competency models or tests are used for the questionnaire. The best is to use a customised competency model as the basis for the questionnaire. Develop questions in consultation with peers and managers who is relevant for your organisation and your position.

d. No Clear Way to Overcome Performance Gaps

Identifying development needs is impractical if there is no support mechanism in place to overcome the problems. Each element of the diagnostic must be linked to a development plan. This should contain behavioural tips for a person to try immediately, coaching and planned experiences to help them to improve through practice. Training and development options should also be made available.

e. A Focus on Pay or 'Appraisal'

A 360-degree process should be used for self-development purposes only. Only then will an individual be most open and accepting of the feedback. If feedback is linked to remuneration and appraisal the stakes are raised and the focus is not on development needs.

The 360-degree feedback is a powerful tool for change for both individuals and organisations as a whole. The clearest result is that individuals, faced with overwhelming and indisputable evidence, genuinely rethink attitudes and habits that have become ingrained over the years. Changing the individual performance or a number of people in a coordinated way then leads to changing the performance of the organisation as a whole.

Annexure 2

MAJOR PITFALLS IN PERFORMANCE MANAGEMENT AND HOW TO AVOID THEM

Potential pitfall	Avoiding this pitfall
Focusing on strategic and business outcomes at the expense of individual performance	Managers often prefer dealing with the big picture, organisational goals and external issues. Spending time with individual staff working through performance issues is time consuming and emotionally draining, but critical. Big organisational objectives can only be met if individual staff meets their smaller objectives.
Not providing adequate skill development support for staff	A very important part of performance management is the development of the skills and knowledge of staff to provide them with the abilities to meet their objectives. This aspect should not be neglected.
Not monitoring performance outcomes effectively	The process of monitoring performance often requires the establishment of new monitoring and measurement techniques. Especially for non-financial outcomes. This often leads to neglect of performance monitoring and reporting. Establish methods that will lead to easy monitoring of performance outcomes.
Managing performance against a limited set of criteria. Missing out on important performance dimensions.	Make sure that your set performance criteria are balanced. Include customers, stakeholders, staff satisfaction and internal process efficiency as well as financial matters. Creating a Balanced Scorecard is a good idea.
Setting unrealistic targets	Be realistic when setting performance targets. Sometimes targets are not achievable – either the time limit is too short or the level of performance is too optimistic.

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