The development practice project

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- The project team for logistics, coordination and editing

Questions and queries on the project and materials can be forwarded to info@developmentpractice.org.za.
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OVERVIEW

Welcome to this manual on Management of staff and volunteers of a CBO (Level 4). The manual provides information that will assist you to acquire knowledge, skills and values to manage staff and volunteers in a CBO effectively.

This learner manual, accompanied by a facilitated programme of activities, should be followed up by practical ‘on-the-job’ experience and practise (supported by a mentor if possible). Once you have read through this learner manual, done all the exercises, implemented the learnings in your organisation, you will be ready to have your competence assessed, if you choose.

Below follows the Specific Outcomes and Assessment Criteria that this learner manual is based on. This means that at the end of your learning period, you will be able to practice all the points listed below. During the learning period you will be reminded to keep and file proof of your work. This is called a Portfolio of Evidence. It is a collection of evidence to show what was learnt during the course and from past experience, including all other training courses attended. Recognition of prior learning (RPL) is when all your learning is taken into account and acknowledged when assessed for a specific standard. Outcomes are the result of your learning. At the end of each section there is a symbol for you to check your understanding.

Please read the competency standard below carefully.
## SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

<table>
<thead>
<tr>
<th>Specific outcomes</th>
<th>Assessment criteria</th>
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<tbody>
<tr>
<td>Competence in this standard means that the learner has clearly shown that s/he is able to...</td>
<td>Tasks and activities completed by the learner contain the following evidence of competence...</td>
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<tr>
<td>1. Develop and maintain a clear organisational staff structure</td>
<td>AC1: Leadership structure and lines of accountability are explained</td>
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<td>AC2: How to develop basic roles and job descriptions is described (and an organogram developed)</td>
</tr>
<tr>
<td>2. Develop and maintain systems to manage and coordinate staff</td>
<td>AC1: A staff code of conduct is developed and principles and processes for managing staff are described</td>
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<tr>
<td></td>
<td>AC2: An appropriate staff structure is described in terms of leadership roles, lines of accountability, basic job function</td>
</tr>
<tr>
<td></td>
<td>AC3: A basic job descriptions is developed and mutual expectations are clarified</td>
</tr>
<tr>
<td></td>
<td>AC4: Effective staff meetings are run and accurately minuted</td>
</tr>
<tr>
<td></td>
<td>AC5: Processes of participatory performance appraisal are described and demonstrated</td>
</tr>
<tr>
<td></td>
<td>AC6: Essential staff policies and procedures are listed (e.g. leave policy, overtime, salaries)</td>
</tr>
<tr>
<td>3. Ensure that the organisation</td>
<td>AC1: Basic conditions of employment are explained (with...</td>
</tr>
</tbody>
</table>
| can comply with the standard legal requirement | reference to leave, working hours etc)  
AC2: Relevant South African laws are briefly described and their impact on the organisational practice noted (Occupational health and safety act; tax regulations like PAYE, UIF; skills development act)  
AC3: Basic legal documentation for staff is drafted (employment / volunteer contract at a minimum) |
|---|---|
| 4. Implement Staff well-being and development processes | AC1: The need for staff care and development is explained  
AC2: Various methods to develop supportive work environments are described (and practical examples provided)  
AC3: Ways to provide developmental supervision and/or mentorship are described and demonstrated  
AC4: An appropriate development plan for staff is drafted (based on the organisational capacity and individual needs) |
| 5. Manage in a participatory and consultative manner | AC1: Participatory approaches are explained  
AC2: Consultation with staff is demonstrated  
AC3: Good communication skill is demonstrated (listen attentively, respond attentively; give feedback appropriately)  
AC4: Personal management style is described and analyzed for strong and weak points |

**Note:** Tasks may be presented for an actual or hypothetical organisation but must be learner’s original work and not copied from existing documents. Learners should be able to explain and justify their statements.
ACTIVITIES

There are a number of activities in the manual. These activities are an important part of the learning approach and you are encouraged to complete them as part of your learning process. They will become part of your own “toolkit” to help you operate more effectively. Some of these activities can also be used as part of your portfolio of evidence (PoE), which you need to compile if you wish to be assessed for competence in this standard.
Symbols used in this workbook

**Important thought**
This sign shows an important thought or idea for you to take note of.

**Definition**
When you see this sign, a term is explained here.

**Self-test**
This designates a self-test section - this is an opportunity for you to check your understanding and if you are unclear, to discuss with your trainer.

**Case study/Example**
Case studies or examples will tell you about a practical application of something that has been discussed or covered in the course.

**Individual activity**
This sign marks an activity – either during the class or as homework. These activities are important to complete – both for your understanding but also as they can be included as part of your Portfolio of Evidence (PoE) for assessment.

**Group activity**
This sign means that this activity is a group work activity.
INTRODUCTION

One of the most important aspects of any organisation is its people. The management of those involved in the organisation, both permanent staff and volunteers is crucial to the effective functioning of the organisation.

This manual will also look at how your organisation with its management style and structure relates to the broader community and to other organisations. Practical ways of doing this are recommended, such as relevant job descriptions for everyone in your organisation and a development plan for your staff.

If you are a manager the manual will also provide you with an opportunity to look at how you are managing at the moment and what you can possibly do to become a better and more effective manager. Different styles of management will be discussed with the advantages and disadvantages of each, so that you can assess yourself.

If you and your organisation want to learn how to manage your staff and volunteers better, then this is for you. The examples and suggestions made in this manual can be adapted and changed to suite your environment and needs.
THE ORGANISATIONAL STRUCTURE AND SYSTEM

What is the organisational structure?

**Definition**

The organisational structure looks at the jobs and the processes or tasks in the organisation and who is accountable for what and to whom.

Different organisations have different organisational structures depending on the aims or needs of the organisation. Two common structures are:

- A hierarchy
- A team-based structure

**Notes**

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A hierarchy

Board

Director

Assistant to director

Finance manager

Project manager

Project manager

Project manager

Project manager
A team-based structure

In the context of a CBO which is likely to have many volunteers as part of the team, it is necessary to use a structure that builds a sense of ownership and accountability among the stakeholders, and keeps the door to the community open. For this reason a team-based structure works best.

**Individual activity**

Think of your own organisation and draw the structure of your organisation. Identify where you fit into the organisation.
Different leadership roles and structures

Definition

Leadership is the way in which a person leads or guides a group to achieve a specific goal. Leadership is an important quality for a good manager to have.

The roles of the management or leaders in the organisation are very different in the two structures discussed above.

Different leadership roles are:

- Goal setting
- Communicating
- Building team spirit
- Motivating
- Disciplining
- Supporting

When you become a leader or manager and focus on strategy you will consider the skills of your team. It is important to develop an organisational structure that relates to the organisation’s values and ethos.
At first, you will be filling many roles. You will need to delegate some of the responsibilities. **You can only delegate responsibility but not accountability.**

Strong leadership is based on your personal values. Once you have shared and agreed on the vision of your organisation, you can look at how to delegate certain roles to different people. If goals and milestones are clear and specific you will require good criteria to ensure these are met.

**Guidelines for delegating responsibilities**

- Define what is to be done. Give responsibility for specific tasks to specific people.
- Be clear on how the task is to be done and why.
- Set deadlines and give relevant information or instructions on how to find the right information.
- State clearly who has which responsibilities.
- Set a time limit for each responsibility.
- Follow up on due dates regularly.
- Have a follow-up system in place.
- Set up communication channels, either a mid-point report or regularly scheduled meetings.
Notes

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Organograms

**Definition**

An organogram is a picture of the structure of the organisation that indicates the lines of accountability that exist in the organisation.
Individual activity

Complete the organogram below with your own organisational details. Make sure that you also indicate where you fit into the organisation.
Principles and processes for managing staff and volunteers

Important thought

Managing staff and volunteers in an organisation is a big responsibility and it involves legal and practical issues. Staff will be productive and efficient if they feel supported, respected and valued by management. Policies assist the organisation to manage their staff and volunteers effectively, by stating the ‘rules’ of the organisation clearly and simply.

The following will help guide the principles used in managing staff and volunteers:

- The organisation needs a vision and mission that will guide the principles used for managing staff and volunteers.

- Specific policies and procedures need to be implemented.

- The policies and procedures must be clear and all staff must be informed of them.

- The organisation should ensure that policies and procedures are in line with legal requirements (details will follow later).
The principles and processes for managing staff and volunteers in the organisation refer to those things that the employer (the organisation) is responsible for, namely:

- Ensuring that the conditions of the Labour Relations Act (LRA) and the Basic Conditions of Employment Act (BCEA) are met;

- Not discriminating on the basis of gender, ethnicity, marital status, disability, religion, sexuality or age in the recruitment and management of staff or volunteers;

- Providing fair wages and conditions;

- Providing a written employment contract;

- Ensuring that all staff and volunteers have a clear job description and a clear understanding of what is expected of them and who they are accountable to;

- Ensuring that there is a fair and legal process for the recruitment, employment, supervision and dismissal (if necessary);

- Providing a safe and healthy workplace;

- Providing ongoing staff performance appraisal and development;

- Providing a clear understanding of the roles between paid staff, governing board members and volunteers;
The following principles can act as a guide for the process of the recruitment and hiring of staff:

- Encourage the involvement and employment of people from diverse backgrounds;
- Ensure that each person in the organisation (staff and volunteers) apply for a position and is interviewed by at least two people before they are placed in the organisation;
- Ensure that each position has a written job description (governing board, staff and volunteers);
- Provide an orientation kit.
- Ensure that each person in the organisation is offered some on-the-job training to enable them to do their work, especially volunteers.

**Staff policies and procedures**

Staff policies and procedures are a necessary tool in management. They assist in providing a clear guideline of what is expected of the people in the organisation. They also clearly indicate the ‘rules’ of the organisation to staff and volunteers.

When developing policies and procedures for an organisation, there are some steps to follow to ensure that the process is consultative and inclusive.
They are:

**Step 1:** **Define the task and assign responsibility**

Identify who is responsible for driving the process e.g. a small team that consists of staff and volunteers.

**Step 2:** **Conduct a situation analysis**

Collect any existing policies and procedures from your organisation.

Get examples of policies and procedures from other organisations.

Analyse them and decide if they are adequate for your organisation or if there are any gaps.

**Step 3:** **Develop a draft policy**

Begin a policy folder by including the policies and procedures that you already have.

Use the examples to draft new policies and procedures that are necessary for your organisation and add them to the list.

**Step 4:** **Submit for governing board approval**

The governing board needs to review and approve all policies.

**Step 5:** **Promote the policies and procedures**
It is important to update your policies and procedures regularly. Ensure that all staff and volunteers are familiar with these policies and procedures.

**Individual activity**

Identify the different policies and procedures that you have in your organisation. What gaps exist in terms of policies and procedures in your organisation?

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The policies and procedures that the organisation’s need, include:

- **Basic conditions of employment:**
  - Salary or stipend
  - Working hours
  - Leave – including sick leave, occasional leave, annual leave, maternity leave etc.
  - Overtime

- **Volunteer policy**

- **Grievance and disciplinary policies**

- **Use of the organisation ’s resources e.g. vehicle policy**

- **Marketing and promotion policy**

- **Financial policies and procedures e.g. fundraising policy**

- **HR Policies e.g. job descriptions, contracts, performance appraisal etc**

**Examples of different policies**

**a) Employment policy**

This policy needs to be in line with the legal requirements of the Basic Conditions of employment Act.

This policy forms the basis of the employment contract for both staff and volunteers. A template of an employment contract can be found on page 54.
Included in the policy are issues related to:

- Salary or stipend
- Working hours
- Leave – including sick leave, occasional leave, annual leave, maternity leave etc.
- Overtime

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b) Volunteer policy

All CBOs need to have a Volunteer policy as volunteers make up a large and important part of the team.

Policies for volunteers need to cover the following main areas:

1) Coordination

In the organisations which have a large number of volunteers such as home-care agencies or some counselling services, a Volunteer coordinator may be needed. This is usually a salaried staff member and their role is to coordinate, manage and support the volunteers. Sometimes an organisation cannot employee a Volunteer coordinator, but one of the staff members is given the responsibility for all volunteer issues.

2) Registering volunteers

All volunteers should be ‘registered’ within your organisation. This means recording their full name, contact details, areas of interest and skills. This will help you to match the volunteer to appropriate work within the organisation. See Worksheet B

3) Recruitment and orientation

The organisation needs to consider how to recruit and orientate volunteers.
4) Training, support and supervision

Like salaried staff, volunteers should also be provided with training. This training might be very specific to the task they will be performing e.g. home-based care or it may be more general e.g. what their responsibility is in collecting or recording data, general working of the organisation etc.

Volunteers should be provided with regular follow-up meetings to assess their performance and to provide support and information.

5) Management

All volunteers should be subject to the same codes of conduct, confidentiality and disciplinary procedures as other staff. They should also be covered by all the policies and procedures of the organisation.

Policies on financial reimbursement, honoraria, expenses or incentives should be clearly stated.

The time contributed by volunteers should be recorded. See template on page 24.

Important thought

The issue of confidentiality is very important. Especially if you are working in the field of HIV&AIDS there may be confidential information such as the HIV status of clients, staff and other volunteers. In order to protect the privacy and
confidentiality of clients and others, many organisations are now requesting that staff and volunteers sign a **confidentiality agreement**. This agreement is usually an internal document which does not have any legal status. However, the process of signing the agreement reinforces the value which the organisation places upon confidentiality.

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### Checklist for working with volunteers

<table>
<thead>
<tr>
<th>Question</th>
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<tbody>
<tr>
<td>Do the volunteers share the mission and core values of your organisation?</td>
<td></td>
</tr>
<tr>
<td>Remember that your volunteers represent your organisation in the broader community.</td>
<td></td>
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<tr>
<td>Does your Policy and Procedure manual include policies covering volunteers?</td>
<td></td>
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<tr>
<td>Have you developed a volunteer registration form that you can use to record their participation?</td>
<td></td>
</tr>
<tr>
<td>Do your volunteer recruitment processes encourage the involvement of people from a range of diverse backgrounds?</td>
<td></td>
</tr>
<tr>
<td>Do you place volunteers in positions which take into account their motivation and skills?</td>
<td></td>
</tr>
<tr>
<td>Are volunteers encouraged to take on roles which will provide them with personal satisfaction?</td>
<td></td>
</tr>
<tr>
<td>Does every volunteer position have a written job description?</td>
<td></td>
</tr>
<tr>
<td>Are all volunteers interviewed by at least two people before entering into the organisation?</td>
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<tr>
<td>Does the volunteer have an assigned supervisor, who is then responsible for providing them with guidance and support?</td>
<td></td>
</tr>
<tr>
<td>Are the volunteers regularly reviewed and provided with feedback on their performance?</td>
<td></td>
</tr>
<tr>
<td>Have you developed clear policies about what financial entitlements or incentives your organisation will provide to volunteers?</td>
<td></td>
</tr>
</tbody>
</table>

*(Adapted from Toolbox for building Strong and Healthy community organisations working in HIV/AIDS and Sexual Health, Part 2)*
Individual activity

Use the checklist and think of your own organisation – do you meet these requirements for the volunteers working with you? What can you do when you get back to your organisation to improve the volunteer policy?

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### Example: Volunteer registration form

<table>
<thead>
<tr>
<th><strong>Name:</strong></th>
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<tr>
<td><strong>Home address:</strong></td>
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<tr>
<td><strong>Work address:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Telephone: (home) (work) (cell)</strong></td>
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</tr>
<tr>
<td><strong>Are we able to contact your place of work?</strong></td>
<td>YES</td>
</tr>
<tr>
<td><strong>Are we able to contact you at your house?</strong></td>
<td>YES</td>
</tr>
<tr>
<td>Please briefly outline why you wish to become a volunteer with our organisation (attach an extra page if you wish)</td>
<td></td>
</tr>
<tr>
<td>Please outline the areas that you are most interested in being involved with (e.g. home-based care; administration work, fundraising)</td>
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<td>Please outline any specific skills you have</td>
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<tr>
<td><strong>How much time are you able to offer each week? (approximately)</strong></td>
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<tr>
<td><strong>Are you able to participate in training and workshops?</strong></td>
<td>YES</td>
</tr>
<tr>
<td>Please provide the name and full contact details of two referees</td>
<td></td>
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</tbody>
</table>
### Example: Volunteer participation record

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Area of contribution</th>
<th>Supervisor</th>
<th>Hours worked</th>
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</table>

**TOTAL HOURS:**
Example: Confidentiality agreement

Declaration of confidentiality

I hereby recognise and take full cognisance of the fact that during my association with _______________________________ (name of the organisation) I shall have access to information that may be confidential in respect of the people I will work with, both clients and staff.

In upholding the principles of confidentiality, I will at all times, respect matters of confidentiality and will not divulge any information whatsoever unless with the expressed consent of such person/s concerned.

Furthermore, I will endeavour at all times to promote the professional standing of _______________________________ (name of the organisation) and will conduct my business with professional integrity and respect for the dignity of all people with whom I engage on behalf of the organisation.

I solemnly declare that I will abide by the above and sign this declaration of confidentiality.

Name and signature: ____________________________________________
Witness: _______________________________________________________
Date: _________________________________________________________
b) Use of the organisation’s resources:

Vehicles

The organisation should think through the following questions:

- May staff and/or Governing board members use vehicle/s for private purposes?
- Under what circumstances may staff and/or Governing board members use the vehicle/s?
- May other individuals, groups or organisations use the vehicle/s?
- Is there a limit on the number of kilometres for private use by staff or Governing board members?
- Do people have to pay for the personal use of the vehicle/s - how much?

Equipment and resources

The organisation should think through the following questions:

- May staff and/or Governing board members use the equipment and resources for personal purposes?
- Under what circumstances may staff and/or Governing board members use the equipment and resources?
- May other individuals, groups or the organisation s use the equipment and resources?
- Under what conditions may they use the equipment and resources?
- Do people have to pay for the personal use of the equipment and resources? How much?
Are there limitations to the use of equipment and resources by staff or Governing board members or others.

Individual activity

Think of your own organisation – use these questions to develop a policy about the use of the organisation’s resources for your organisation

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c) **Transport and travel policy**

**Car hire:** The organisations should consider the following questions:

- Under what circumstances will the organisation hire a car?
- Who may approve the hire of a car?
- Who will be allowed to drive the hired car? e.g. Only staff and/or Governing board members?
- Will other people be travelling in the car or on a trip?
- May only people insured with the car hire company drive the car?
- Who will be responsible for the use of the hired car?
- Are there any limits placed on the type of car that can be hired, such as the cheapest category of hired car?

**Travel allowances:** The organisation should consider the following questions:

- Under what circumstances will travel allowances be paid?
- Who will be eligible to receive travel allowances?
- What travel allowance rates will be paid, i.e.: how much per day?
- How will travel allowances be paid?
- How will travel allowances be accounted for, i.e.: who will be responsible for producing receipts and what procedure of accounting for money spent will be used?
- Who may approve travel allowances?
Out of town travel: The organisation should consider the following questions:

- What standard of accommodation is acceptable to the organisation? e.g. 3 star hotels, guest houses, bed and breakfasts?
- If the staff member stays with a friend will the organisation pay for accommodation or a gift of thanks for the friend?
- Will the organisation pay for telephone calls made by staff when they are out of town? Will they pay for business and private calls?
- Which meals will the organisation pay for?
- Can staff travel long distances by air or must they use a bus or train or taxi?
- If staff travel by air or train, what class is acceptable?

Individual activity

Think of your own organisation – does your organisation have policies in terms of these transport issues? If necessary, develop a transport and travel policy for your organisation?

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e) Disciplinary procedure and policy

It is very important that the organisations have a very clear policy on how to deal with situations that require disciplinary procedures. These procedures also need to be in line with the legal requirements of the Labour Relations Act (LRA), as it can lead to the dismissal of staff.

The disciplinary procedure and policy needs to ensure that staff and volunteers maintain certain standards of conduct (according to his/her employment contract, the specific job requirements and the organisation’s Constitution).

These standards include, but are not limited to, the following:

- To attend work regularly and punctually and for the hours as set down in the employment contract.
- To carry out their tasks and job responsibilities diligently.
- To carry out all lawful and reasonable rules of the organisation and job instructions.
- To conduct themselves with honesty and integrity.
- To request permission in advance for leave of absence except on good cause, and not absent themselves from duty without leave or permission except in good cause.
• Not to behave insolently, provocatively or in an aggressive or intimidatory manner to any other staff member or visitor.

• Not to consume alcohol while on duty without prior permission.

• Not to perform his/her duty under the influence of alcohol and/or intoxicating drugs, unless such drugs have been prescribed by a recognised medical practitioner for the employee's health, and the . . . . . . . . . . . . . . has been informed.

• Not to misbehave or be so negligent as to endanger others or lead to damage of the organisation’s property or disrupt the organisation’s activities or impair the organisation’s reputation.

• Not to disclose confidential information

Any failure to maintain acceptable standards, not limited to the above, will render an employee liable to disciplinary action.

Important thought

It is very important to remember that staff are entitled to have a union representative (where relevant and if they choose) present with them at each stage of the disciplinary action. There are 4 stages:

Step 1: Verbal notice
Step 2: Issue first written notice

Step 3: Issue final written notice

Step 4: Conduct a disciplinary hearing

Notes
Staff dismissals

Regular staff supervision and performance appraisal will greatly assist in preventing the need to dismiss staff.

Dismissal is only possible for serious offences, but is not limited to:

- Intoxication or being under the influence of alcohol or drugs.
- Damage to property.
- Theft or attempted theft.
- Unauthorised possession of property.
- Fraud.
- Gross negligence.
- Assault or threatened assault.
- Intimidation.
- Breach of confidentiality.
- Persistent late arrival, early departure and/or being absent without leave from the workplace during working hours.
- Failure to obey a reasonable instruction.

For more details on the process and procedure of these steps see the Appendix.
f) Grievance procedure and policy

Definition

A grievance is any dissatisfaction or feeling of injustice in connection with an employee's employment situation.

No employee shall be victimised as a result of them raising a grievance.

It is the intention of the organisation to resolve grievances at the earliest possible stage. The time periods specified are maximum periods, and should only be utilised to the full where the complexity of the grievance requires the full use of the time period.

An extension of the time periods specified may be obtained only by written and signed agreement between everyone involved.

An employee with a grievance may be assisted throughout the procedure by a representative of his/her choice from the organisation.

Procedures that need to be followed in the case of a grievance are:
Stage 1 (Informal Stage)

If an employee wishes to raise a grievance, s/he shall approach his/her immediate senior and an attempt to resolve the grievance shall be made at this level. Should the grievance relate to the actions of that senior, the employee must nonetheless approach the senior in an attempt to resolve the matter. Two days shall be allowed for this stage.

Stage 2 (Formal Stage)

If the grievance has not been resolved informally, the employees may take the grievance further by reporting it in writing to the director of the organisation. The report sets out:

- the nature of the grievance
- the fact that an attempt at informal resolution was made
- the date on which it arose

Such report shall be submitted not less than three days after the end of Stage 1. When the report is received, a meeting must be held to discuss the matter with everyone involved.

Stage 3

Should the employee wish to take the grievance further, s/he should within three days of the end of Stage 2, send notice of the grievance, together with the report of
the second stage, to the Chairperson of the governing board, where the case will be reviewed and a decision taken.

For more details on the process and procedure of these steps see the Appendix.

**Group activity**

In your groups, use the information given above to develop the following policies for your organisation:

- Volunteer policy
- Disciplinary policy
- Grievance policy
- Use of the organisation’s resources
- 

Other policies like job descriptions and performance appraisal are also essential and will be dealt with in the next section. Financial policies can also be found in a different manual.
Code of conduct

**Definition**

A *code of conduct* is a set of rules outlining practices for an individual or organisation.

**Example: Code of Conduct**
The following Code of Conduct and Ethics will be adhered to by all Directors, Board of Management Members, Managers and employees, as well as volunteers. The commitment is grounded on the belief that all service delivery should be based on high moral, ethical and legal standards.

I, ......................................................................................................................, hereby undertake to

- Promote the vision and mission of ___________________________ (name of organisation)
- Serve the interest of ___________________________ (name of organisation) by providing a quality service.
- Ensure that the needs of clients are addressed in a professional manner, timeously and adequately.
- Treat all information about the clients and their circumstances as confidential and to promote the individuals’ right to privacy.
- Ensure that external and internal political, commercial or personal interest does not influence or affect the professional advice and support given to clients.
- Conduct all business on behalf of ___________________________ (name of organisation) in line with the legal and regulatory framework applicable to the service area.
- Act honestly, avoid potential misrepresentation and subscribe to the highest ethical standards in conducting the affairs of the organisation.
• Immediately disclose any potential or real conflict of interest that may exist, or that may be perceived to exist, or that I become aware of.

• Commit myself to the highest level of team work and collaboration with all partners in the service delivery loop.

• Not discriminate against any individual on the basis of race, colour, creed, sex, sexual orientation, age, place of origin or national ancestry, family or marital status, religion, political persuasion or disability.

• Comply with all Policies and Procedures as laid down by ___________________ (name of organisation).

• Protect and use the organisation assets for the express purpose of promoting the business of the organisation and to report any abuse, improper or fraudulent use of the resources.

• Promote open and constructive communication within and outside the organisation.

• Maintain the required records prescribed in the Policy and Procedure Manuals.

• Continue to take responsibility for my own professional and personal development.

Signed: ______________________________________________________

Date: __________________________________________________________
Individual activity

If your own organisation does not have a code of conduct, develop one for them

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Job descriptions and employment contracts

Definition

A job description provides an outline of the responsibilities and key performance areas of the staff member or volunteer.

Remember the following with regards to job descriptions:

- Job descriptions must accurately reflect the staff member’s or volunteer’s key performance areas and duties;
- Job description should be written in such a way that performance of each area and duty can be appraised;
- Copies of job descriptions should be kept by the staff member or volunteer, their supervisor and in their personnel folder;
- Job descriptions must be dated. This will assist with the review process.

The following information should be contained in the job description:

- Background
- Purpose or aim
- Reporting and accountability
• Work requirements
• Salary and conditions
• Education requirements or qualifications
• Skills and experience
• Key performance areas and duties
• Other

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Example: Job description

Date: ______________________________________________________

The position: ________________________________________________

Job title: ___________________________________________________

Background:
Briefly give some history regarding the positions. Consider including the mission and core values of the organisation.

Purpose or aim of position:
A sentence that summarises the aim of the position, e.g. what you are expecting the person to achieve in the job?

Reporting and accountability:
Supervisor: ________________________________________________

Responsibility: this describes if the person is responsible for any supervision or management of other staff

Work requirements
State the times of work and length of employment.
Salary and conditions
State the salary and any other conditions of employment.

Education requirements or qualifications
State what (if any) the education requirements or formal qualifications are that you seek.
In the case of volunteers this will not necessarily apply.

Skills and experience
In addition to any formal education requirements, list the skills and experience necessary e.g. previous work experience, certain languages, a driver’s licence etc.

Key performance areas and duties
It is very important to clearly identify the key performance areas and their associated duties. List each main area of responsibility, e.g. admin work, networking, organising discussion sessions, fund raising, financial management.

Detailing of Responsibilities
List the specific duties for each key performance area.

Other
Attach a copy of the organisation’s organogram so that the person can see where they fit.
Performance appraisal

Definition

Staff performance appraisal is a tool to ensure that the staff are performing according to their job descriptions and the key performance areas as set out in the job description. It is also a way to find out how the staff are feeling about their jobs and the organisation.

Ask yourself the following questions:

- **What are the staff/volunteers doing?**
  - How do they feel generally about the quality of their work?
  - What is their progress in each specific area of their work?
  - Have they reached the goals they set for themselves last time you met?

- **How are the staff/volunteers feeling at the moment in the organisation?**
  - Do the staff and volunteers feel listened to by the organisation?
  - Are their opinions valued?
  - Do they feel able to share concerns openly with the person to whom they report and the people above them?
- What concerns do they currently have that they would like to share with the leadership of the organisation?

- Do they understand the policies and procedures of the CBO and are they being applied consistently and fairly?

Notes

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Example: Performance appraisal

Name: ____________________________________________

Appraisal period: _______________________________________

Date of appraisal: _______________________________________

1. Performance appraisal

The following areas need to be improved:
________________________________________________________
____________________________________________________________________
____________________________________________________________________
________________________________________________________

The following measures (to be implemented and monitored during ongoing supervision) were agreed to improve performance.
________________________________________________________
____________________________________________________________________
____________________________________________________________________
____________________________________________________________________

2. Career development

The following short-term goals to improve job satisfaction were noted:
________________________________________________________
____________________________________________________________________
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____________________________________________________________________

Attribution Non-commercial Share Alike
The following measures (to be implemented and monitored during ongoing supervision) were agreed to achieve these goals:

__________________________________________

__________________________________________

__________________________________________

The following long-term goals to assist in career development were noted:

__________________________________________

__________________________________________

__________________________________________

**Effective communication at work**

**Running effective meetings**

Every meeting has three important phases:

1) Setting up (preparation for meeting)

2) Conducting the meeting

3) Following through (making sure decisions taken at meeting are implemented)

**Different types of meetings are held in the organisation.**
Individual activity

Make a list of the meetings that take place in your organisation and also what the purpose and outcomes of the meeting are:

<table>
<thead>
<tr>
<th>Type of Meeting</th>
<th>Purpose of meeting (Why)</th>
<th>Desired outcome( What do you want to achieve at the end of the meeting)</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>
It is also important to identify the right people that need to attend the different meetings that are held in the organisation. It might not be necessary for all staff and volunteers to be present at all meetings. The board members or even donors may be present at some meetings.

The next step in planning for the meeting is to draw up an agenda for that meeting.

**Definition**

An **agenda** is a “programme” for the meeting and is very important to ensure that the purpose and desired outcomes of the meeting are reached. The agenda is a set format that needs to be followed so that the meeting takes place in an orderly manner and all points are covered.

**Notes**

____________________________________________________________________

____________________________________________________________________

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____________________________________________________________________
Example: Agenda

Date: .........................  Time Meeting Starts: ......................

Time Meeting Ends: .....................

Agenda

1. Attendance register
2. Apologies
3. Minutes of last meeting
4. Matters Arising
   4.1
   4.2

5. New Items:
   Item  Person presenting  Time allocated
   ______________________________________________________
   ______________________________________________________
   ______________________________________________________

6. General:
   Item  Person presenting  Time allocated
   ______________________________________________________
   ______________________________________________________
   ______________________________________________________

7. Date and venue of next meeting
8. Closure
When preparing for a meeting it is also important to look at the physical arrangements that may need to be made for the meeting. You can use the following checklist to help you plan:

<table>
<thead>
<tr>
<th>What</th>
<th>Who is responsible</th>
<th>By when</th>
<th>Budget/Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agenda</td>
<td></td>
<td></td>
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<tr>
<td>Venue</td>
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<tr>
<td>Catering</td>
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<td></td>
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<tr>
<td>Transport</td>
<td></td>
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<td></td>
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<tr>
<td>Invitations</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Minutes of previous meeting</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The second phase of a meeting is the actual running of the meeting. During a meeting different people will have different responsibilities to ensure that the meeting runs effectively. The main roles and responsibilities at the meeting are:

- **Chairperson** (director of the organisation/ chairperson of board/ team leader): Conducting the meeting

- **Secretary** (office manager/ secretary/ volunteer/ staff member): Taking minutes

- **Other members** of the meeting (staff/ volunteers/ community/ service-providers/ board members): Participating and contributing to the discussions

When conducting a meeting the person who is chairing the meeting is responsible for the process of the meeting. The content of the meeting needs to come from both the chairperson and the members of the meeting. The person chairing the meeting also needs to manage any conflict that may arise in the meeting.

**Minute taking at the meeting**

**Definition: Minutes**

Minutes are a written record of the proceedings of a meeting and capture the decisions taken and future tasks that need to be carried out, as well as who is responsible.
All meetings should be recorded or minuted, because without minutes there will be no record of what happened at the meeting and this can lead to conflict. Another problem with not taking minutes is that people will forget what was decided and what they were asked to do and this means that the organisation is likely to go over the same ground again and again without making progress.

Minutes are also helpful for new members of the organisation to get an update of the history and previous agreements of the organisation.

Therefore the organisation has to ensure that all minutes are kept in a central location and the management, staff and other team members need to know where these documents are kept. Minutes are a public document and as such all members of the organisation should be able to access them. However, if the minutes contain confidential information (e.g. about employees) this version should only be available to the board members or management of the organisation.

If the organisation is registered in terms of the NPO Act, the keeping of minutes is a legal requirement.

**Individual activity**

Use the worksheet on the next page to assist you in drawing up minutes for one of the meetings in your organisation.
Example: Minutes of meeting

For (the purpose of) _____________________________

Date: _____________________ Venue: __________________________

Time Meeting Starts: _______________ Time Meeting Ends: _______________

1. **Attendees:** Attach signed attendance register

2. **Apologies:**

   ______________________________________________________

   ______________________________________________________

   ______________________________________________________

3. **Minutes of the last meeting:** Distributed and accepted as a true reflection of the meeting

4. **Matters arising:**

   ______________________________________________________

   ______________________________________________________

   ______________________________________________________

   ______________________________________________________
5. New matters

<table>
<thead>
<tr>
<th>Topics according to agenda</th>
<th>Discussion</th>
<th>Outcomes achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Topic 1</td>
<td></td>
<td></td>
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<tr>
<td>Topic 2</td>
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<td></td>
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<tr>
<td>Topic 3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6. Summary of actions

<table>
<thead>
<tr>
<th>Follow-up on topic</th>
<th>What still needs to be done</th>
<th>By whom</th>
<th>By when</th>
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<tbody>
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</tbody>
</table>

Date, time and venue of next meeting: ________________________________
## Conducting the meeting

The chairperson is responsible for facilitating the meeting according to the agreed agenda. This includes:

- Making sure that the topics on the agenda are being addressed and the desired outcomes are achieved or at least being discussed;

- If further action is required to meet the desired outcome - follow-up needs to be agreed upon, what still needs to be done, by whom and by when should be clarified;

- Timelines are agreed to and must be adhered to;

- Capturing issues that may come up during the discussion but are outside of the topics on the agenda on a ‘parking-lot’ in order to make sure that they may either be addressed at the end of the meeting or will be included in the follow-up meeting.
Running effective meetings also provides an opportunity for you to implement **participatory management strategies**. Remember the following at the meeting:

- Give everyone a chance to speak.
- Listen attentively to the inputs from staff and volunteers.
- Delegate the responsibilities of the meeting e.g. minute taking to different people (this will also build the capacity of staff and volunteers).
- Encourage open discussion of issues on the agenda.
- Manage conflict effectively in the meeting should it arise.

**Self-test**

You should be able to:

- Explain leadership structures and lines of accountability
- Develop basic roles and an organogram
- Develop a staff code of conduct
- Describe principles and processes for managing staff
- Describe an appropriate staff structure in terms of leadership roles, lines of accountability, basic job function
- Develop a basic job descriptions and clarify mutual expectations
- Run effective staff meetings
- List essential staff policies and procedures

Please ask your facilitator if you are unsure of any of the above.
LEGAL REQUIREMENTS FOR EFFECTIVE STAFF AND VOLUNTEER MANAGEMENT

Important laws

There are a number of different laws that are relevant to managing staff and volunteers in your organisation. For complete copies of each act, you can look at the government website, www.labour.gov.za

Basic conditions of Employment Act

The Act applies to all staff and employers except members of the National Defence Force, National Intelligence Agency, and South African Secret Service. This Act overrules any other agreements. Specific conditions set out in the Act are:

Working time

Ordinary hours of work

A worker must NOT work more than:

- 45 hours in any week
- 9 hours a day if a worker works 5 days or less a week, or
- 8 hours a day if a worker works more than 5 days a week.

**Meal breaks and rest periods**

Staff must have a meal break of 60 minutes after 5 hours work. A written agreement may lower this to 30 minutes and do away with the meal break if the staff member works less than 6 hours a day.

**Leave**

**Annual leave**

A staff member can take up to 21 continuous days' annual leave or by agreement, 1 day for every 17 days worked or 1 hour for every 17 hours worked.

Leave must be taken not later than 6 months after the end of the leave cycle.

An employer can only pay a worker instead of giving leave if that worker leaves the job.

**Sick leave**

A worker can take up to 6 weeks' paid sick leave during a 36 month cycle.

During the first 6 months a worker can take one day's paid sick leave for every 26 days worked.
An employer may want a medical certificate before paying a worker who is sick for more than 2 days at a time or more than twice in 8 weeks.

**Maternity leave**

A pregnant staff member can take up to 4 continuous months of maternity leave. She can start leave any time from 4 weeks before the expected date of birth OR on a date a doctor or midwife says is necessary for her health or that of her unborn child. She also may not work for 6 weeks after the birth of her child unless declared fit to do so by a doctor or midwife.

**Family responsibility leave**

Full time staff employed longer than 4 months can take 3 days paid family responsibility leave per year on request when:

- the worker's child is born or sick or
- the death of the worker's spouse or life partner, parent, adoptive parent, grandparent, child, adopted child, grandchild or sibling.

An employer may want proof that this leave was needed.
Job information and payment

Job information

Employers must give new workers information about their job and working conditions in writing.

Keeping records

Employers must keep a record of at least:

- the worker's name and job
- time worked
- money paid
- date of birth for workers under 18 years

Payment

An employer must pay a worker:

- in South African rand
- daily, weekly, fortnightly or monthly
- in cash, cheque or direct deposit
Payslip information

Each payslip must include:

- employer's name and address
- worker's name and job
- period of payment
- worker's pay
- amount and purpose of any deduction made from the pay
- actual amount paid to the worker

Approved deductions

An employer may not deduct any money from a worker's pay unless:

- that worker agrees in writing
- the deduction is required by law or permitted in terms of a law, collective agreement, court order or arbitration award
**Termination of employment**

A worker or employer must give notice to end an employment contract of not less than:

- 1 week, if employed for four weeks or less
- 2 weeks, if employed for more than four weeks but not more than one year;
- 4 weeks, if employed for one year or more

**Certificate of service**

When a job ends, a worker must be given a certificate of service.

**Child labour and forced labour**

- It is against the law to employ a child under 15 years old.
- Children under 18 may not do dangerous work or work meant for an adult.
- It is against the law to force someone to work.

**Employment Equity Act**

The purpose of the Act is to achieve equity in the workplace, by

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

**Occupational Health and Safety Act**

**Important thought**

*The Occupational health and Safety Act No. 85 of 1993* aims to provide for the health and safety of persons at work

**Notes**

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Skills Development Act

Important thought

The aim of the Skills Development Act is to provide workplace strategies to develop and improve the skills of the South African workforce.

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Tax regulations

UIF (Unemployment Insurance fund)

**Important thought**

Employers must pay unemployment insurance contributions (UIF) of 2% of the value of each staff member’s pay per month. The employer and the worker each contribute 1%.

Contributions are paid to the Unemployment Insurance Fund (UIF) or the South African Revenue Services (SARS).

In addition to the 1% deducted from the staff member, the employer also contributes 1% for every staff member that they employ in the organisation.

The total contribution paid to the UIF is therefore 2%.

**Example**

If a worker earns R1 000 per month, the employer must deduct 1%, namely R10. In addition, the employer must pay R10 for that worker. The total of R20 must therefore be paid to the UIF or SARS.
Employers may not:

- deduct more than 1%
- deduct outstanding amounts when they fall behind with payments and may not
- ask a fee for deducting the money

If employers deduct too much money by accident, they must pay the extra money back to workers.

Employers must pay the 1% they deducted from workers, together with the 1% they have contributed, to the UIF or SARS before the 7th day of every month.

**Example**

Contributions due for January, must reach the UIF or SARS on or before 7 February.

**PAYE (Pay as you earn)**

PAYE – Pay as you earn is the tax that all employers must pay to the South African Revenue Services (SARS) for all salaried staff in the organisation. It is the responsibility of the organisation to make sure that the tax is paid over to SARS, but the staff member also needs to make sure that this is done, to avoid any future problems.
Individual activity

Look at the different legal structures and documents that are in your organisation. Are there any that you need to add or new structures that you need to set up?

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Employment contracts

Staff contracts

As part of the legal requirements, all salaried staff employed by the organisation must have a contract of employment.

Definition

The contract is an agreement between the employer and the staff member in terms of basic conditions of employment, duties and expected conduct.

The following must be included in the employment contract:

- Salary
- Income tax
- Benefits e.g. medical aid or pension (if applicable)
- Working hours
- Leave
- Staff development
- Termination of employment
Example

CONTRACT OF EMPLOYMENT

NAME OF EMPLOYEE: ______________________________

ADDRESS: ______________________________
_________________________________________
_________________________________________

TELEPHONE NO: ______________________________

JOB TITLE: ______________________________

SALARY PACKAGE: ______________________________

HOURS: ______________________________

I accept the conditions of employment as stipulated in the attached letter of appointment.

SIGNATURE: ______________________________ DATE: ________________
Volunteer contracts

The same contract is used for staff and volunteers.

Remember that working with volunteers is an essential part of any community-based organisation. It is therefore very important to look after your volunteers properly.

Definition

A volunteer is defined as a person who freely gives of their skills, their time and their labour and/ or ideas without salary or wages).

In some organisations all positions are held by volunteers because there is no funding for payment of staff. Volunteers are best looked upon as a partner and as a gift to the organisation.

The needs of volunteers are very similar to that of other staff, namely to:

- be protected against discrimination (directly or indirectly) on the basis of gender, ethnicity, marital status, disability, religion, sexuality or age
- be recognised and acknowledged as individuals, with individual skills and talents. It should also be understood that volunteers have other commitments such as families and other community activities
• be provided with a safe and healthy workplace

• be able to participate in an orientation process and training to enable them to carry out their work

• be trusted and supported in their work

• be given a specific area of responsibility

• be provided with ongoing professional development to build their skills so that they can do their jobs better

• be able to participate in the decision-making of the organisation

• be able to participate in the planning, monitoring and evaluation of their work area

• know the limits of their authority and the areas in which they can make decisions without having to refer to others (staff or volunteers)

• be challenged and provided with opportunities for growth by having their work performance regularly appraised

• be provided with constructive feedback about their performance

• be thanked and acknowledged for their contribution
Individual activity

Think of your own organisation – are you providing all these things to your volunteers
Self-test

You should be able to:

- explain the basic conditions of employment
- Describe relevant SA laws and their impact on the organisational practice
- Draw up basic employment or volunteer contracts

Please ask your facilitator if you are unsure of any of the above.
STAFF WELLBEING AND DEVELOPMENT

A staff development plan

Group activity

Why do you think there is a need for care and development of staff in the organisations? Discuss this in your group

In the organisations people work together as a group or team. Some groups work well, but others leave the members feeling dissatisfied with the way things are going. It is therefore very important to look at the development and care of your staff to avoid unhappiness and ensure greater productivity and quality of work.

In every group there are specific needs to be met. These needs can be summarised as:

The job

Every group must have a job to do. The group must exist for a purpose or it will lose direction. There will be frustration and the members will start to battle with each other and eventually leave. The difference between a team and a random crowd is that a team has a common purpose.
The relationships

To get the job done, the group needs to stay together and get along with one another. Relationships need to be healthy and members need to feel that their individual needs are also met. This means that the group members need to listen to each other and to deal with conflict when it arises. They also need to build trust, learn to accept and understand each other and to co-operate. People need to feel that they belong – the stronger the feeling of belonging in the group – the stronger the sense of responsibility for the work.

The values

It is important for staff and management to focus on the work and not get side-tracked or pulled in other directions, as they should be sticking to the vision and values that are the foundations of the work that they do.

Definition

A development plan for the organisation is therefore a plan that ensures that the needs of the group and the individuals are met, through innovative methods.
Methods to develop a supportive work environment

There are various methods that can be used to develop a supportive work environment.

**Examples**

- Team building sessions
  - To build trust, respect and relationships
  - Encourage sharing and better understanding
- Regular training and staff development
- Regular feedback sessions about staff performances and the work of the organisation
- Effective methods of dealing with conflict in the organisation
- A clear vision and mission to form the core values of the organisation
- Sound policies and procedures that are known to all
- Care facilities for children at work e.g. crèche
Group activity

Think of your own organisation. What could you do to develop a more supportive work environment for your staff and volunteers? Think of very practical examples and discuss this with the other group members.
Individual activity

Use all the information that you have gained through the course and taking into consideration your own, the organisational capacity and individual needs, draft a development plan for the organisation. This plan will form part of your portfolio of evidence.

Mentorship and supervision

All the organisations need to keep the balance between ensuring that the staff and volunteers feel valued, supported and listened to while making sure that their work is being carried out properly.

Definition

Mentorship refers to a relationship in which a more experienced person helps a less experienced person develop in a specific capacity.
Definition

There are many different definitions for “supervision”, but typically supervision is the activity carried out by supervisors or managers to oversee the work of staff (or volunteers).

Occasionally, the terms "leadership" and "supervision" will be used to describe the same thing. Both activities are closely related. Supervision requires leadership. Leadership does not necessarily have to involve supervision.

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Qualities of a good supervisor

The five essential qualities are:

- Drive and motivation
- Leadership
- Intelligence
- Skills and knowledge
- Honesty and integrity

Individual activity

Make a list of your qualities as a supervisor.

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The basic elements of good supervision are:

- Building and maintaining the organisational structure
- Creating and maintaining an effective work force
- Controlling the work

This means that the person, who is doing the supervision, is responsible for the following tasks:

- **Staff**: morale, consultation, discipline, welfare, safety, employment, induction, training.
- **Work**: quantity, quality and timeliness.
- **Cost**: working within the organisation budget.
- **Resources and equipment**: effective use and maintenance thereof.
- **Materials**: supplies, waste, suitability for activities.
- **Workplace**: layout, tidiness, good housekeeping.
- **Coordinating with other sections**: the organisational culture.

The above responsibilities can only be fulfilled if the supervisor works within the policies of the organisation. It is very important that supervision is done regularly and not only when there are problems or disciplinary issues.
Individual activity

Think about your own organisation and your position as supervisor/manager in the organisation. Which supervision tasks are you responsible for?

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You should be able to:

- Explain the need for staff care and development
- Describe various methods to develop supportive work environments
- Demonstrate ways to provide developmental supervision and/or mentorship
- Draw up an appropriate development plan for staff based on your organisation’s capacity and individual needs

Please ask your facilitator if you are unsure of any of the above.
The boss drives his men
The leader inspires them
The boss depends on authority
The leader depends on goodwill
The boss evokes fear
The leader radiates love
The boss says “I”
The leader says “we”
The boss shows who is wrong
The leader shows what is wrong
The boss knows how it is done
The leader knows how to do it
The boss demands respect
The leader commands respect
So be a leader
Not a boss

Author unknown
MANAGEMENT STYLES

Different manage styles

There are 4 main types of management or leadership:

The controller (Authoritarian)

- Wants own plans carried out
- Issues specific instructions
- Supervises closely

Autocratic management is an extreme form of management where a manager exerts high levels of power over staff or team members. People within the team are given few opportunities for making suggestions, even if these would be in the team's or organisation’s interest.

Most people tend to resent being treated like this. Because of this, autocratic management usually leads to high levels of absenteeism and staff turnover. Also, the team's output does not benefit from the creativity and experience of all team members, so many of the benefits of teamwork are lost.

For some routine and unskilled jobs, however, this style can remain effective where the advantages of control outweigh the disadvantages.
The guide

- Clarifies the task
- Offers advice
- Gets team members to feel ownership of the task

The consultant (Democratic)

- Broadly outlines the task
- Invites discussion and ideas
- Ensures team agrees on actions

Although a democratic manager will make the final decision, he or she invites other members of the team to contribute to the decision-making process. This not only increases job satisfaction by involving staff and other team members in what’s going on, but it also helps to develop people’s skills.

As participation takes time, this style can lead to things happening more slowly than an autocratic approach, but often the end result is better. It can be most suitable where team work is essential, and quality is more important than speed.
The facilitator (Laissez-faire leadership)

- Gives overall direction
- Gives full responsibility for tackling task to the team
- Expects team to report on progress

This French phrase means “leave it be” and is used to describe a manager who leaves his or her colleagues to get on with their work. It can be effective if the manager monitors what is being achieved and communicates this back to the team regularly. Usually a laissez-faire management style works for teams in which the people are very experienced and skilled self-starters. Unfortunately, it can also refer to situations where managers are not exerting sufficient control.

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Individual activity

(Taken from: The Leadership experience: MAST)

Complete the following worksheet to determine what your natural leadership style is. Below are sets of statements relating to management tasks. Take each set of statements, read carefully and mark yourself as follows:

- Most like me: score 4
- Second most like me: score 3
- Third most like me: score 2
- Least like me: score 1

### GOAL SETTING

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>1. I think it is important to outline the task clearly</td>
<td></td>
</tr>
<tr>
<td>2. I believe I should tell people exactly what I want accomplished</td>
<td></td>
</tr>
<tr>
<td>3. I’d prefer my team members to set their own detailed goals</td>
<td></td>
</tr>
<tr>
<td>4. I’d prefer to outline a task in broad terms to my team</td>
<td></td>
</tr>
<tr>
<td>5. Sometimes people don’t grasp what I am really after</td>
<td></td>
</tr>
<tr>
<td>6. Sometimes I may be perceived as being too patronising when I am setting tasks</td>
<td></td>
</tr>
<tr>
<td>7. People feel that I sometimes come over as too dictatorial</td>
<td></td>
</tr>
<tr>
<td>8. There is a danger that my team sometimes lack clear direction</td>
<td></td>
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</table>
### TEAM SPIRIT

<p>| | |</p>
<table>
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<tbody>
<tr>
<td>9.</td>
<td>I’d like the team to develop their own way of working together</td>
</tr>
<tr>
<td>10.</td>
<td>I feel I must make my team understand the importance of working for each other</td>
</tr>
<tr>
<td>11.</td>
<td>I feel it’s important that I state quite clearly the role I want each team member to play</td>
</tr>
<tr>
<td>12.</td>
<td>I like the team to meet regularly to share ideas</td>
</tr>
<tr>
<td>13.</td>
<td>I sometimes don’t give my team members enough freedom to help each other</td>
</tr>
<tr>
<td>14.</td>
<td>We can spend too much time discussing issues without coming to any constructive conclusions</td>
</tr>
<tr>
<td>15.</td>
<td>I sometimes spend too much time with each individual to allow enough time for the whole team to be together</td>
</tr>
<tr>
<td>16.</td>
<td>The team is sometimes so busy doing their own thing that they can become fragmented</td>
</tr>
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</table>

### COMMUNICATION

<p>| | |</p>
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>17.</td>
<td>I feel I should tell everyone exactly what they need to know and no more</td>
</tr>
<tr>
<td>18.</td>
<td>I like people to take the time to tell me what is happening to their work</td>
</tr>
<tr>
<td>19.</td>
<td>I think it’s important that I regularly advise my staff so they have a clear picture of what is going on</td>
</tr>
<tr>
<td>20.</td>
<td>I always like having the time to exchange information within the team</td>
</tr>
</tbody>
</table>
21. I sometimes learn about problems too late to take the appropriate action

22. People in my team sometimes feel they cannot raise controversial issues

23. I don’t know what my team really thinks about things, sometimes

24. Sometimes I spend too much time listening to others rather than giving information myself

**MOTIVATING**

25. I believe that working closely with my staff inevitably makes them more motivated

26. I feel that allowing my team to have a free rein increases their motivation

27. I like my staff to suggest ways in which I can motivate them better

28. I feel that being direct is the best way of letting my staff know how I feel about their job performance

29. Sometimes the way I handle my staff doesn’t take into account their personal motivation characteristics

30. I can sometimes be overbearing when I am trying to get my staff to accomplish a task

31. Sometimes I spend too much time trying to find out what makes my team tick

32. People really have to be self motivated in my team to do well
## DEVELOPING DISCIPLINE

<p>| | |</p>
<table>
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<tbody>
<tr>
<td>33.</td>
<td>I prefer looking for joint solutions to poor performance</td>
</tr>
<tr>
<td>34.</td>
<td>I feel that if I work closely with my staff it helps to maintain discipline</td>
</tr>
<tr>
<td>35.</td>
<td>I believe it is important to act in a direct way when I spot poor performance</td>
</tr>
<tr>
<td>36.</td>
<td>I like my team to take full responsibility for maintaining high work standards</td>
</tr>
<tr>
<td>37.</td>
<td>I suppose I can be a bit relaxed about disciplining my team</td>
</tr>
<tr>
<td>38.</td>
<td>I sometimes find it difficult to see why people don’t take responsibility for their own work standards</td>
</tr>
<tr>
<td>39.</td>
<td>I sometimes find it difficult to switch from helping to disciplining</td>
</tr>
<tr>
<td>40.</td>
<td>Sometimes I may be a little harsh on poor performance</td>
</tr>
</tbody>
</table>

## SUPPORTING

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<tbody>
<tr>
<td>41.</td>
<td>I like to point out to my staff what development plans I have for them</td>
</tr>
<tr>
<td>42.</td>
<td>I think an open discussion is a good way to make people feel there is support available</td>
</tr>
<tr>
<td>43.</td>
<td>I feel like I should have close contact with my staff so that I will find out their problems</td>
</tr>
<tr>
<td>44.</td>
<td>I think it’s important that my team know that I am available when they need help</td>
</tr>
<tr>
<td>45.</td>
<td>Sometimes I try too hard to be pleasant with everyone in my team</td>
</tr>
<tr>
<td>46.</td>
<td>I can sometimes be too protective of my staff instead of letting them learn from their own experiences</td>
</tr>
</tbody>
</table>
47. I am sometimes seen as being too remote to be of help to my team

48. I suspect that staff tend not to come to me with their problems

Below is the score sheet for the questionnaire. Once you have completed the worksheet, put your score for each number next to the right question number. Add up your scores for each management style. Look at the highest score – that identifies your personal style of management.

**The controller**

|   |  |  |  |  |  |  |  |  |  |  |  |
|---|---|---|---|---|---|---|---|---|---|---|
| 2 | 7 | 11 | 13 | 17 | 23 | 28 | 29 | 35 | 40 | 41 | 48 |

Total _________

**The guide**

|   |  |  |  |  |  |  |  |  |  |  |  |
|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 6 | 10 | 15 | 19 | 22 | 25 | 30 | 34 | 39 | 43 | 46 |

Total _________

**The consultant**

|   |  |  |  |  |  |  |  |  |  |  |  |
|---|---|---|---|---|---|---|---|---|---|---|
| 4 | 5 | 12 | 14 | 20 | 24 | 27 | 31 | 33 | 37 | 42 | 45 |

Total _________

**The facilitator**

|   |  |  |  |  |  |  |  |  |  |  |  |
|---|---|---|---|---|---|---|---|---|---|---|
| 3 | 8 | 9 | 16 | 18 | 21 | 26 | 32 | 36 | 38 | 44 | 47 |

Total _________
When looking at the management and leadership styles that we find in the organisations you need to ask yourself how you go about investigating and satisfying your staffs’ motivational needs. The things that motivate you impact on the way that you lead or manage your staff. Examples of these motivators might be:

- You believe that your staff members are basically lazy and the only way to motivate them is to shout or even threaten them.
  - *Your motivator is fear and intimidation, built on the notion that your staff members are lazy*

- You may value the opinions of your staff and believe you can motivate them through mutual trust and respect.
  - *Your motivator is trust and respect for your employees.*

- You may believe strongly in recognising achievement and excellence by rewarding employees.
  - *Your motivator is rewarding for good work.*
Individual activity

Look at the examples given above – which one do you think describes you and what motivates you best?

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Group activity

Discuss in the group what the best management styles are and how best to ensure a participatory approach.
Self-test

You should be able to:

- Explain participatory approaches to management
- Demonstrate consultation with staff and volunteers
- Demonstrate good communication skills
- Describe your personal management style and analyse the strong and weak points

Please ask your facilitator if you are unsure of any of the above.
ADDITIONAL SKILLS

Action learning

As you will be using this methodology to facilitate the learning on this course and also teaching the action learning cycle, it is important as a facilitator, that you understand what this methodology is about. Below follows a very good article by the Community Development Resource Agency on the topic. At the end, they include some questions with the action learning cycle – these are useful when facilitating the learning discussion for the experiential activities that are described in the facilitation outline.

*Action Learning - a developmental approach to change*

Adapted from *Action Learning for Development: use your experience to improve your effectiveness*, by James Taylor, Dirk Marais and Allan Kaplan

"*I never remember what I was taught, only what I learnt*"

Patrick White in *Voss*

1. **What is Action Learning or Experiential Learning?**

   "*Experiential Learning is the process of consciously learning from experience in order to improve future practice. Action Learning is an approach to the development of people in organisations which takes the task as the vehicle for learning. It is based on the premise that there is no learning without action and no sober and deliberate action without learning*"

   Mike Pedler

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1. *See also Action Learning for Development: use your experience to improve your effectiveness*  
   James Taylor, Dirk Marais, Allan Kaplan, Juta and Co. Ltd., 1997
“Action Learning is learning from concrete experience, through group discussion, trial and error, discovery and learning from and with each other. It is a process by which groups of managers/leaders or “learners” generally work on real issues or problems, carrying real responsibility in real conditions”.

Ortrum Zuber-Skerrit

Action Learning is a more conscious form of the natural way that human beings learn from experience, from doing, from living. Simply put it is about learning from our experience, learning from our actions and then applying these learnings back into our next experience or our next action. It is about ongoing cycles of improved learning and doing.

It is an ancient form of learning. We have all been doing this all our lives, usually unconsciously, sometimes consciously. Some of us do it better than others. The point however is that through being more conscious of how we naturally learn we can improve the way we learn and help other people to learn more effectively.

An Action Learning centred approach values the experience of the learner above other sources of learning and in so doing brings respect into the learning relationship - respect for the learners by the facilitators and respect for the learner by themselves.

But we can also value the experience of others. Learning from the related experience or the stories of others can also be valuable, particularly if the story is
richly told and in such a way that the listeners re-experience the story for themselves.

Action Learning is in contrast to being taught by experts. Of course, inputs, ideas or theories from books, teachers or facilitators are valuable, but usually these are useful after the experiences of the learner have been surfaced, reflected on and learnt from. If we are only taught theoretically then we usually struggle to find a place to put this theory - but by starting with own experience and drawing possible learnings we help learners to create hooks on which to hang new concepts and theories from the outside.

2. **Why is Action Learning important?**

If a central purpose of a developmental practice is to help people to become more independent, to stand on their own feet, then Action Learning becomes a central process of helping people to become independent learners, learning more from their own experience and becoming less dependent on experts for knowledge or guidance. Helping people to become more conscious, confident and skilled “action learners” should be a central purpose to almost any developmental process. The capacity to learn independently from own experience becomes the hallmark of sustainability.

Methodologically, in our training or in facilitating developmental processes in communities or organisations, if we help learners to work with their own experiences and draw learnings, these are immediately relevant. Learners are more likely to own their learning, to feel the learning - it can live more actively
inside them. What they learn they can more readily apply back into their own future experience.

Action Learning can also be based on immediate experience. If in our training or learning programmes we use active, experiential exercises with learners (especially where they have little or no prior experience), then the experience becomes theirs to learn from. Handing them learnings (teachings!) on a plate does not penetrate to their feelings and their will and does not assist them to apply learnings to their lives or practice and may just remain a frustrating intellectual curiosity.

Good stories from elsewhere that are dramatically told can become learning experiences because they enable us to feel and experience the drama as if we were part of it. This is probably why in older cultures, stories and myths have always been such an important means of passing on learnings from generation to generation (before Education arrived and suppressed so many of them).

Action or Experiential learning, the ability to learn from your own experience is the foundation of empowerment, of sustainable development.

3. **The Action Learning Cycle as a Tool**

Action Learning is a continuous cycle - the end of each learning cycle becomes the beginning of the next cycle.

**Action:** Doing/experiencing and recalling the
experience: nobody knows your experience of your actions better than you do. To become more conscious of our “experience” while acting, can impact on the next step quite dramatically.

Some useful questions: What significant things happened? Describe the events. Who was involved, what did they do? What picture emerges? How did I/we feel?

**Reflection:** Re-examining and thinking about the event or action means to make it more conscious, to analyse it, to evaluate it, to understand it better or on a deeper level. The problem is that we do not do this normally. Often it is only as a result of a crisis that we reflect, that we stop to take a deeper look. A more pro-active approach is vital to become a good action learner. This is very much a “brain storm” activity where we would look at the event from different angles.

Some useful questions: Why did it happen, what caused it? What helped, what hindered? What did we expect? What assumptions did we make? What really struck us? Do we know of any other experiences or thinking that might help us look at this experience differently?

**Learning:** Reflection is no guarantee that learning has taken place! Very often people “reflect” on practice and repeat the same mistake over and over again. Therefore the distinction between reflection and learning in the AL Cycle is important; learning here is the process of distilling or drawing out the core generalised lessons; moving from “what actually happened” to “what tends to
happen as a result of such circumstances”. Be careful of jumping to learning before adequate reflecting has taken place.

Some useful questions: *What would we have done differently? What did we learn, what new insights? What was confirmed? What new questions have emerged? What other theories help us to deepen these learnings?*

**Planning:**  This is the key link between past learning and future action (and learning). The core “insights” from the previous step must now be translated into decisions that will ensure improved practice and these decisions then need to become part of the plan. Planning that is unrelated to learning from the past is nearly always a waste of time!

Some useful questions: *So what does this mean for practice? What do we want? What do we want to do, to happen? How? What are we going to do differently? How will we not repeat the same mistake? What do we have to let go of or stop doing? What steps will we use to build these new insights into our practice?*

4. **Some more lessons and applications**

**No one part of the cycle is more important than the other**

All four segments (processes) are important and good action learning means we consciously give attention to all four segments. The ideal action learning cycle is an upward spiral of learning and increasingly effective action. But sometimes the cycle
seems to get stuck. The same learnings crop up and the same mistakes are repeated. This often happens when “planning and evaluation” become a “habit” in situations where there is no real culture of learning. The worst situation though is when organisations get “trapped” into one or two of the segments; neglecting the other processes and a downward spiral of less and less effective action results.

**Strengths and weaknesses**

Very few people are equally gifted in all 4 segments. Most people are more competent in one or two segments of the cycle. It is perfectly okay to be more gifted in one or two segments. The most effective teams will normally have individuals with different competencies, but will have all the segments represented in the team. A team with 90% doers is as incapacitated as a team with 90% reflectors!

While it is thus okay as an individual to be more skilled in one or two segments, it is not okay to use your competencies as an excuse not to develop the areas where you are less skilled.

**Resistances to learning**

The model also helps us to identify the four most common resistances to learning. They happen when one segment is overemphasized at the expense of the other three. Although these examples are all caricatures they do help us to identify the resistances to learning.
1. The Activist (Action)

Activists prefer immediate action and reflection; learning and planning are seen as a waste of time. All the focus is on getting things done with little or no “thinking” about what is really happening. If something does not work an activist may easily jump into trying something different rather than taking the time to think about what happened.

2. The “Navel-gazers” (Reflection)

Navel-gazers prefer to spend lots of time on “serious thinking” and arguing the finer points. They intellectualize very easily and love debates. Organisations developing this specific resistance to learning spend their lifetime debating every single little issue! Unfortunately very little gets done!

3. The “Easy-learners” (Learning)

They want the “bottom line” very quickly. The emphasis is on quick answers - ready made solutions - they jump to learnings very easily, without taking the time to reflect on the actual experience, so that the learnings lack depth.

4. The Blue-print people (planning)

They believe everything is in the plan and will spend days and weeks developing “the plan” (the blueprint), often with very little consultation and reflection on the past and often with just as little intention of actually executing the plan. Some do
execute the plan, but this makes the do-phase very painful for others because the plan is not something that can be adjusted, it is a **blueprint**, a master plan, that has to be followed to the letter. One of the strengths of the Action Learning approach is that it favours regular rethinking and re-planning.

All these “passions” are necessary to produce excellence, but if a passion for one segment excludes (or down plays) the importance of the other segments, we have a serious resistance to learning with negative outcomes as the final result.

5. **Applications of action learning: Some examples**

The Action Learning Cycle can be used as a “frame” to guide the process of working consciously from past experience into the future. It can be applied to many challenges:

**Individuals**
- Report writing - Action Learning can be used as a very useful frame or guide for a field report
- Personal life visioning/planning - unpacking your life experience
- Own project planning and evaluation
- Development counselling (mentoring) or supervision

**Groups and organisations**
- As a guide to work with and learn from *case studies* from the field
- Strategic Planning (departments, projects, organisations) - evaluation and project planning
• Action research on some specific issue
• Courses or structured learning processes (e.g. with case studies or experiential exercises)

Communities
• Helping leaders or members to make sense of their experience
• As a guide for programme progress meetings
• Strategic planning with larger groups like a village or town

A country or nation reflecting on some serious issue e.g. the Truth and Reconciliation Commission in South Africa. (Where the nation is looking back at its Apartheid past and coming to terms with everything that happened, drawing lessons from that for future generations.)
Conflict management

Conflict is natural. If there is no conflict it can be an indication of a serious leadership and honesty problem in the organisation.

What is conflict?

**Definition**

**Conflict:** “violent collision, a struggle or contest, a battle, a mental struggle”

**Interpersonal conflict:** whenever an action by one person prevents, obstructs or interferes with actions of another person.

**Conflicting situations:** these occur when there is a conflict in what we want to accomplish, a disagreement in the methods of pursuing goals, differing personal needs and differing expectations of behaviour.

**Elements of conflict:** all relationships contain elements of conflict, disagreement and opposed interests. These factors lead to growth and development of the individual and of the relationship.
**Good and bad conflict:** conflicts may be good or bad. A lack of conflict may indicate apathy or non-involvement within a relationship. A failure to handle conflict within a relationship may also lead to the destruction of the relationship.

**Effects of conflict**

Conflict has different effects on each person. Some of the effects of conflict are good for you – they increase your motivation, but other effects of conflict are not good for you and have many negative consequences.

Conflict leads to:

- Stress
- Emotional stress
- Inner turmoil
- Unfocused energy – you become unproductive
- Hurt and sad
- Angry
- Loneliness
- Positive results
Strategies for Managing conflict

The way we react to conflict is determined by how important our personal goals are to us and how important relationships are to us. When managing conflict we should look out for the following:

- not to avoid conflict situations
- not to solve the conflict prematurely
- not to stifle discussion of differences

There are 5 styles of managing conflict:

**The tortoise (Withdrawing/Avoiding)**

Tortoises withdraw into their shells to avoid conflicts. They give up their personal goals and relationships. They stay away from issues and people that might cause conflict. Turtles feel hopeless and helpless to resolve conflict. It is easier to withdraw.
The lion (Forcing/Confronting)

Lions try to overpower people by forcing them to accept their solutions to conflict. Their goals are more important than relationships. They are not concerned with the needs of other people. Lions presume that conflicts are settled by one person losing and one person winning. When lions ‘win’ they feel that they have achieved something and if they lose, they feel that they are weak and a failure. Lions try to win by attacking, overpowering and intimidating other people.

The teddy bear (Smoothing/Denying)

Relationships are of the greatest importance, while goals are of little importance.

Teddy bears want to be liked and accepted by others. They think that conflicts should be avoided and in fact can’t be resolved without damaging relationships. They give up their goals so that no-one gets hurt.
The fox (Manipulating)

Foxes are moderately concerned with their goals and about relationships with other people. Foxes seek compromises and look for solutions where both sides give up part of their goals.

The owl (Accommodating/Compromising)

Owls value their goals and relationships very highly. They view conflicts as problems that need to be solved while still achieving their goals as well as the other person’s. Owls think that conflicts can improve relationships by reducing tension - they may even begin a conversation that identifies a conflict. Owls try to maintain relationships by seeking satisfactory solutions. They are not satisfied until a solution is found and tensions have been resolved.
Steps in resolving a conflict

1. Confront the opposition

2. Jointly define the conflict

3. Communicate any changes of positions and feelings

4. Communicate co-operative intentions

5. Take the other person’s perspective accurately and fully

6. Co-ordinate your motivation and the other’s to negotiate in good faith

7. Reach an agreement
APPENDIX

Disciplinary procedure

Steps for addressing poor performance

General

1. Where a staff member fails to meet acceptable performance standards, which may include but are not limited to low productivity, unacceptable error rate, failure to meet deadlines, poor workmanship or failure in any key performance area, the following performance review process is recommended.

2. The number of reviews is not prescribed but rather depends on the circumstances of each case, and should take into account such factors as the degree of poor performance, the seniority of the staff member and any possible consequences to the organisation.

3. The purpose of a performance review is to provide feedback to the employee on good and poor performance. The employee shall have the right to participate and to state his/her case, with representation where requested. Where poor performance is identified, the performance review shall attempt to correct such poor performance by suitable action.

Performance Review

1. Where instances of poor performance have come to the attention of a senior, s/he shall notify the employee that s/he is required to attend a performance review.

2. Details of the alleged poor performance shall be included in the above notification.

3. Sufficient time (at least two days) shall be allowed to the employee to prepare for the review.
4. The above notification shall inform the employee that s/he has a right to be assisted by a representative of his/her choice at all review meetings, provided that such a representative is an employee of the organisation. Should the employee elect not to be assisted by a representative, this shall be recorded in the review report.

1st Review:
1. The senior shall substantiate the unsatisfactory performance and shall give the employee a chance to respond.

2. The performance standards that are expected must be discussed for each task in the job description.

3. Corrective measures should be discussed, e.g. on-the-job training, courses, reading, counselling.

4. A follow-up date (2nd Review) must be set. The length of time between these two reviews depends on the nature of the job, the seriousness of the poor performance, and the length of time over which the performance can be measured. The need for, and format of, any informal feedback between the reviews should be discussed.

5. After the meeting, a letter containing the salient points of the review shall be sent to the employee, indicating the unacceptable performance, any remedial measures, and the date of the next review.

2nd Review:
1. Regardless of whether performance has improved, remained the same or deteriorated, the 2nd review shall take place on the agreed date or within three weeks.

2. The same procedures as for the first review shall be followed. If performance has not improved sufficiently, and depending on the seriousness of the failure
to meet the required standards, the organisation may indicate its intention to terminate the employment relationship if performance has not improved by the 3rd review. A date for the 3rd review shall be set, and the need for, and format of any informal feedback between the reviews should be discussed.

3. After the meeting, a letter containing the salient points of the review shall be sent to the employee, indicating the unacceptable performance, any remedial measures, and the organisation’s intention to terminate the employment contract if there is no improvement. The date of the next review shall also be stated.

3rd Review:

1. Regardless of whether performance has improved, remained the same or deteriorated, the 3rd review shall take place on the agreed date or within three weeks.

2. The same procedures as for the 1st review shall be followed. If, on the review date, the employee has not achieved the required standard of performance, and provided prior notice was given of the organisation’s intention to terminate the employment contract if there was no improvement, the employment relationship may be terminated. The contractual period of notice shall be honoured.

3. The senior shall keep a record of the 3rd review meeting and shall make it available to the employee, or his/her representative, on request.

**Alternatives to terminating the employment contract**

As an alternative to dismissal, and if a suitable alternative vacancy exists at a lower level of responsibility, the organisation may offer the staff member concerned a demotion. Where the employee rejects the offer of demotion, the organisation may proceed to terminate the employment relationship.
Right of Appeal

1. An employee has the right of appeal, either personally or through his/her representative, against any decision to terminate his/her employment contract on the basis of poor performance.

2. The basis of the appeal shall be stated.

3. The appeal should be made to the employee in writing within seven days of the dismissal. The employee or his/her nominee shall hear the appeal. If the employee or his/her nominee considers it necessary, he/she shall convene an appeal hearing to hear oral evidence within fourteen days of receipt of the appeal.

4. The employer may accept an appeal lodged after the expiry of the above time limits.

5. A decision shall be given within seven working days of the receipt of the appeal where there has been no oral evidence heard, or within seven working days of the conclusion of the oral hearing. This decision shall be given as soon as possible thereafter in writing. This decision shall be final and shall indicate the end of the procedure to address poor performance.
Disciplinary procedures: Formal action

If there is serious misconduct or repeated cases of an employee failing to meet required standards, the organisation shall take formal disciplinary action. The procedure outlined below shall be followed.

Serious misconduct includes, but is not limited to:

- Intoxication or being under the influence of alcohol or drugs.
- Damage to property.
- Theft or attempted theft.
- Unauthorised possession of property.
- Fraud.
- Gross negligence.
- Assault or threatened assault.
- Intimidation.
- Breach of confidentiality.
- Persistent late arrival, early departure and/or being absent without leave from the workplace during working hours.
- Failure to obey a reasonable instruction.

Investigation

1. No formal action shall be taken without prima facie evidence of misconduct. An investigation may be necessary to establish such evidence.

2. Such investigation shall be authorised by the employer, who shall appoint persons who, in his/her opinion, would carry out the investigation thoroughly and fairly.

3. An employee under investigation has the right to ask, and be told, the outcome of the investigation at the end of it.

4. An employee may be suspended with full pay during the investigation where:
a) The organisation has reasonable grounds for suspecting that the employee has committed a disciplinary offence.
b) The organisation reasonably suspects that the investigation, or the organisation, would be prejudiced by the continued presence of the employee at the workplace.

5. Where an employee is suspended pending the outcome of an investigation, s/he shall be told of the grounds for suspension.

6. Where the investigation indicates misconduct by an employee, a disciplinary enquiry shall be convened as soon as possible after the investigation is complete.

7. Such a disciplinary enquiry shall be convened by .................... (or his/her nominee) and .................... (or his/her nominee).

Disciplinary Enquiries

1. The employee concerned shall be notified in writing in advance that s/he is required to attend a disciplinary enquiry. Sufficient time (at least two days) shall be allowed for the employee to prepare for the enquiry.

2. Details of the allegations shall be contained in the above notification.

3. The employee shall be informed of his/her right to assistance or representation at the enquiry. Should s/he choose not to be represented, this shall be recorded in the enquiry report.
The Enquiry

1. The Chairperson

- The Chairperson shall approach the enquiry with an open and unbiased mind. S/he shall not have been directly involved in the issue or have conducted the investigation which led to the enquiry.

- Where the Chairperson feels that s/he is unable to perform his/her duties impartially, s/he shall excuse him/herself, and shall give written reasons for doing so.

- The role of the Chairperson shall be to:
  - ensure a fair and orderly procedure
  - open, conduct and close the proceedings
  - ensure that all parties fully understand the proceedings
  - attempt to establish the facts
  - decide the matter only on the evidence presented
  - ensure that a record of the proceedings is kept
  - make two findings - namely a finding regarding the allegations, and if the finding is one of guilt, then a decision of sanction

2. The organisation’s management committee or governing body

- The organisation’s Management Committee may nominate a representative to present its case, provided that such a representative is an employee of the organisation and provided that s/he was not directly involved in the investigation.

- The organisation’s Management Committee representative shall be required to lead evidence in support of the allegation against the employee.

- The organisation’s Management Committee representative shall examine the organisation’s witnesses and cross-examine witnesses called by the employee or his/her representative.
3. The Employee and the Employee Representative

- The employee and his/her representative shall be given the opportunity to be present throughout the enquiry. Where the employee or his/her representative chooses not to be present the enquiry may proceed without the employee or his/her representative.

- The employee and his/her representative shall be permitted to cross-examine the witnesses of the organisation and to call further witnesses.

**The Process**

1. The enquiry shall be divided into two parts:

   - Consideration of the evidence and
   - Where a finding of guilty is reached, consideration of aggravating and mitigating circumstances

2. The Chairperson shall listen to and take account of all relevant evidence. The Chairperson shall then make a finding consistent with the evidence, on the balance of probabilities.

3. If the facts do not support the allegation, the hearing shall be closed and the employee cleared of the allegation.

4. Where a finding of guilty is made, the employees and his/her representative shall be allowed to lead evidence in mitigation. The organisation’s Management Committee representative shall be allowed to lead evidence of any aggravating circumstances.
5. The Chairperson shall give his/her decision on sanction at the end of the enquiry. This shall be given to the employee and his/her representative in writing as soon as possible after the enquiry.

6. In the case of dismissal, the Chairperson of the enquiry shall sign the dismissal letter.

7. The Chairperson shall produce a written report of the salient points of the enquiry. A copy of the report shall be sent to the employee or his/her representative on request, within two working days of such request.

**Possible Sanctions**

1. The sanction applied shall depend on the seriousness of the case and any mitigating or aggravating circumstances.

2. Formal disciplinary action may take the form of:
   - Written Warning
   - Final Written warning
   - Dismissal with Notice
   - Summary Dismissal

3. Written Warnings shall be valid for a specified period of not less than 6 months. Upon expiry of this specified period, the warning shall no longer count in subsequent disciplinary proceedings as an aggravating circumstance.

4. Final Written Warnings shall be for a specified period of not less than 6 months. Upon expiry of this specified period, the warning shall no longer count in subsequent disciplinary proceedings as an aggravating circumstance.

5. An employee receiving a Written Warning or a Final Written Warning should sign it in acknowledgement of receipt. Refusal to sign is not a disciplinary offence.
6. Dismissal may be warranted where an employee did not respond to corrective action (i.e. misconduct while there is a current Final Written Warning on file) or where the misconduct is so serious that the employment relationship cannot be continued.

7. Where there has been gross misconduct or a complete breach of the employment relationship (e.g. theft or fraud) an employee may be summarily dismissed. Such dismissal shall be of immediate effect and the employee shall be paid up to the date of dismissal only.

**Appeal Procedure**

1. An employee has a right, either personally or through his/her representative, to appeal against any formal disciplinary action.

2. The basis for appeal must be stated and may include, but is not limited to:
   - Jurisdiction
   - Procedural irregularities
   - Problems of evidence
   - Factual findings of the Chairperson
   - Problems surrounding the sanction imposed
   - Problems relating to the impartiality of the Chairperson

3. The Chairperson of the appeal shall not have been directly involved in the original enquiry or investigation.

4. The appeal hearing shall consider all the issues discussed for the grounds of appeal.

5. In the case of a Written Warning or a Final Written Warning, the appeal should be made in writing to the person senior to the person who issues the warning. The appeal should be lodged within three working days of receipt of the warning. The senior to whom the appeal was lodged, or if appropriate, a person of his/her equal in seniority, shall hear the appeal.
6. Should the Chairperson of the appeal decide to hold an oral hearing to decide the case, such hearing shall be convened within fourteen days of receipt of the appeal.

7. In the case of dismissal, the appeal should be made in writing to the employer who shall refer the appeal to the organisation’s Management Committee within seven working days of the dismissal. The Management Committee shall nominate a chairperson to hear the appeal.

8. Should the Management Committee’s nominee decide to hold an oral hearing to decide the case, such a hearing shall be convened within fourteen days of receipt of the appeal.

9. The Chairperson of the appeal may accept an appeal lodged after the expiry of the said time limits.

A decision shall be given within seven working days of receipt of the appeal if no hearing is called, or within seven working days of the conclusion of the appeal hearing. This decision will be given as soon as possible thereafter in writing.
Grievance procedures

Stage 1 (Informal Stage)

If an employee wishes to raise a grievance, s/he shall approach his/her immediate senior and an attempt to resolve the grievance shall be made at this level. Should the grievance relate to the actions of that senior, the employee must nonetheless approach the senior in an attempt to resolve the matter. Two days shall be allowed for this stage.

Stage 2 (Formal Stage)

If the grievance has not been resolved informally, the employees may take the grievance further by reporting it in writing to the employer. Such a report shall set out the nature of the grievance, the fact that an attempt at informal resolution was made, and the date on which it arose, and such report shall be submitted not less than three days after the end of Stage 1.

Employer, receiving written notice of the grievance shall, within two days, convene a meeting consisting of, the employee (and his/her representative if the employee requests this) and the employee's immediate senior. Three days from the date of this meeting shall be allowed for a resolution to be achieved, failing which the next stage will be implemented. The decision shall signify the end of Stage 2.

Stage 3

Should the employee wish to take the grievance further, s/he should within three days of the end of Stage 2, send notice of the grievance, together with the report of the second stage, to the Chairperson of the organisation’s Management Committee.
- The Chairperson or his/her nominee will review the case. If a nominee is to be appointed, the Chairperson of the organisation’s Management Committee will advise the employee and his/her representative accordingly. If the Chairperson or his/her nominee deems it necessary to establish further facts about the case, a meeting will be convened within five days of receipt of the grievance notice. This meeting shall consist of the Chairperson of the organisation’s Management Committee, the employee (and his/her representative).

- The Chairperson reviews the situation.

- The Chairperson may appoint a nominee to represent him/herself in the grievance procedure.

- The Chairperson shall call a meeting of the employee, the employee's representative, the employee's immediate senior and anyone else the Chairperson feels will help to resolve the grievance to a meeting, if the Chairperson feels that this is necessary.

- The decision of the Chairperson will be final.