Chapter III

Training Needs Assessment
Often overlooked, as the first step in the performance improvement process is the training needs assessment. A training needs analysis helps you to diagnose when training will cure your problems, and when it won’t. Just as a doctor must understand the cause of a patient’s symptoms before he can attempt a cure, you need to know why employees are not meeting your expectations before you take action. That’s where a training needs analysis will help. It will tell you how well your employees are doing their jobs, where they could use some improvement, and how that improvement can best be achieved. Done correctly, it can save your company from wasting a lot of time and money on inappropriate training programs. Without diagnosis, there can be no solid prognosis. Training needs analysis is the diagnostic part of the whole training process. Failure to conduct a sound analysis means that the whole training initiative is built on shifting sands.

Organizations spend vast sums of money on training and development. Before committing such huge resources, organizations would do well to assess the training needs of their employees. Organizations that implement training programs without conducting needs assessment exercise might reveal that less costly interventions (e.g. Selection, compensation, job redesign) could be used in lieu of training.

![Performance Deficiency Diagram]

Figure: 3.1 Analyzing a performance deficiency

Unfortunately, a great many organizations undertake training without the necessary preliminary needs assessment. In one survey, 81% of organizations said that they identified training needs only by reacting to problems that cropped up and to requests by superiors. A survey of

---

management training practices found only 27 percent of organizations systematically assessed the training needs of their managers. Often there is no systematic effort to predict future training needs or to determine if perceived needs and problems really exist and can be properly addressed by training.

Not infrequently an organization undertakes training as a knee-jerk reaction to a perceived problem or as a response to a popular fad in training programs. An example of a fad in the 1990’s was the widespread adoption of a management training package based on Stephen Covey’s best selling book ‘Seven Habits of Highly Effective People’. Training that is undertaken without a careful analysis of whether or not it is needed is likely to be ineffective and a waste of money. Inappropriate training can sour the attitudes of trainees towards all organizationally sponsored training and reduce their motivation to attend future and perhaps more useful programs.

Further the quality of the training output (improved job-related or organizational performance) is only as good as the training data input. That is, if the needs for training have not been properly identified, then the training itself may be called into question. Therefore, the needs assessment phase is the building block of all training programs. The needs assessment serves to identify gaps and considers if the problem can be solved by training. The assessment is part of a planning process focusing on identifying and solving performance problems.

3.1 Why conduct a training needs assessment?

- A needs assessment provides an opportunity to consult with a variety of people in the organization. The information collected, ideas generated, and the conversations that take place when people discuss their work lives lend enthusiasm to the process.

- A training needs analysis provides the basis for who must be trained, what must be the content of training, when will training occur and where will the training take place. The product of this phase is the foundation of all subsequent development activities.

- This step defines the direction in which the training activity is required to move as it identifies the areas we require to impart training on and also the right personnel who require the training inputs.
Needs assessment helps diagnose the causes of performance deficiency and segregate them into training needs and need for other organizational issues. All performance issues may not be training issues. Machines, capital employed, factory space, office utilization, methods of work etc., can impact on work performance and may not have any training implication at all. Likewise even though it is a human performance problem, the issue may be one of recruitment/selection, incentives or salary/wage administration welfare, industrial relations etc rather than training. A needs assessment exercise may reveal that less costly interventions like transfer, job design, improving quality of supervision etc could be used instead of training. (Refer Annexure 3.1)

A needs analysis helps assure that training is the appropriate solution, identifies the training issues, and ensures that instruction on the topic is not already included in an existing training programme.

A needs assessment that involves discussions and interviews with potential trainees creates conviction and motivation regarding future training programs.

Since many organizations skip this very important first step of the training activity, there are situations when people perceive that they are sponsored for training to escape from the rigmarole of daily work as a paid holiday or as an appeasement to a selected few who are generally termed as ‘blue eyed boys’. It is also generally seen across organizations that a handful of employees are expected to do all the work, while the privileged few usually get the opportunities for training. This often leads to discontent and low morale. Conducting an objective needs assessment would make the training need based by helping to identify the right personnel to be trained in specific areas.

A comprehensive needs assessment process which takes into account strategic needs, functional needs and individual needs also ensures that conflicts between individual training needs and corporate training requirements do not arise.

In cases where training is being outsourced specific benefits of needs assessment are a) trainees may be informed about the broader needs of the training gap and their sponsoring organization, b) The sponsoring
organization is able to reduce the perception gap between the participant’s and his boss about their needs and expectations from the training program, c) Trainers are able to pitch their course inputs closer to the specific needs of the participants.

➢ A needs analysis also leads to framing of specific and achievable objectives for training programs against which the effectiveness of these programs can be evaluated. It is impossible to develop training objectives appropriately if training needs are not properly assessed.

➢ The proper assessment of training needs allows for meaningful follow up to the training activity, in terms of providing for the application of new knowledge and skills on the job.

➢ A needs analysis helps to ensure that the money and other resources expended on training represent a good use of those resources. Needs assessment then, however it is carried out, should be looked upon as a tool to help make a defensible case for training expenditures.

Every institution has to improve its training techniques, methodology and more so the content of its training programs. One of the best available alternatives for this is to conduct a training needs analysis. Training needs analysis is the foundation of any effective training program. In other words, any meaningful training activity should be preceded by rigorous analysis and careful assessment of training needs.

3.2 Some definitions

The method of choice for determining who needs what training is usually called “training needs assessment”. The purveyors and professors of this methodology differ sharply among themselves about how best to conduct a needs assessment. They disagree even more sharply when it comes to defining what does or doesn’t qualify as a needs assessment.
3.2.1 Need

Need is\(^1\) (Dalton cote)

1) Difference between the actual and required performance  
2) Difference between the current and desired performance  
3) Difference between the current and future performance requirement

Need is the difference between the standard and actual performance. The standards for right jobs often are expressed as goals or objectives of the organizational unit for which a manager has responsibility.\(^2\)

A need can be defined as a discrepancy between what “is” and what “should be”. Roth (1990) lists fine possible discrepancies that people have in mind when they speak of need. There could be a discrepancy between what is and (a) an ideal (b) the norm (c) a minimum (d) a desired or (e) an expected state (Roth, 1990). Training interventions should directly respond to a discrepancy identified by doing a needs assessment.

3.2.2 Needs assessment

Needs assessment is a systematic study to accurately describe gaps or discrepancies in performance that exist between what people are capable of doing now, what they should be capable of doing, and what they will be required to do in future (Dalton cote). The aim of needs assessment is to improve performance by recommending solutions to performance discrepancies.

“Assessment” refers to the process of identifying the organizations needs and placing them in some order of priority. The priority is based on what it costs the organization to ignore the problem as compared to the value a solution to that particular problem might add.

“Analysis” takes the process one step further in so far as it requires an investigation of the reasons and the causes for a need. This is necessary so that appropriate interventions may be identified and later selected.

\(^1\) http://www.ucalgary.ca/~djcoe  
Therefore, a needs assessment is a prerequisite procedure for needs analysis. Analysis is the means to identify appropriate interventions—such as training, job aids, job redesign, hiring procedures to minimize or eliminate the need.\footnote{Ratzburg, W., “Needs assessment and analysis”, www.ERDNotes.com}

A training needs analysis is conducted ultimately to identify training goals, that is what areas of knowledge or skills that training needs to accomplish with learners in order that learners can meet organizational goals (usually in terms of a performance standard).

Usually this phase also includes identifying when training should occur and who should attend as learners. Ideally criterions are established for the final evaluation of training to conclude if training goals were met or not.

3.3 Process

Needs assessment may be seen as a four-step process:

Make a gap assessment

\[\downarrow\]

Identify priorities and importance

\[\downarrow\]

Identify causes of performance problems

\[\downarrow\]

Identify possible solutions and growth opportunities

\textbf{Figure: 3.2} Needs assessment process
Step 1: Make a gap assessment

The first step is to check the actual performance of our organization and our people against existing standards.

Desired situation: This starts with an identification of the desired or necessary conditions for organizational and personal success. What are the necessary job tasks/standards, as well as the skills knowledge and abilities needed?

Current situation: Then we need to determine the current state of skills, knowledge and abilities of our people. This analysis should also examine our organizational goals, climate and internal or external constraints.

The difference or the “gap” between the current state and the desired state will identify our needs, purposes and objectives. However, the identification of such gaps says nothing about training. The needs assessment has simply identified a gap or a problem. It remains to be seen if training can provide a solution to the problem. Areas to be looked into in this phase may be – problems or deficits, impending change, opportunities, new directions, government mandates.

Step 2: Identify priorities and importance

The first step is likely to have produced a large list of needs. Whether or not solutions to these problems are sought will depend on organizational priorities. The needs must be examined in view of their importance to the organizational goals, realities and constraints. We must determine if the identified needs are real, if they are worth addressing and specify their importance and urgency in view of organizational needs and requirements. For example

- Cost effectiveness – How does the cost of the problem compare to the cost of implementing a solution, in other words, perform a cost benefit analysis.
- Legal mandates – Are there laws requiring solution, e.g. Safety or regulatory compliance.
- Executive pressure – Does top management expect a solution?
- Population – Are many people or key people involved?
- Customers – What influence is generated by customer specifications and expectations?
If some of our needs are of relatively low importance, we would do better to devote our energies to addressing other human performance problems with greater impact and greater value.

**Step 3: Identify causes of performance problems**

In step three, we get close to answering the question about whether or not the gap or problem identified earlier can actually be alleviated through training. Now that we have prioritized and focused on critical organizational and personal needs we would next try to identify causes of each performance problem. For every identified need we should ask two questions – 1) Are our people doing their jobs effectively? 2) Do they know how to do their jobs? This will require detailed investigation and analysis of people, their jobs and the organization.

**Take up one problem**

**Define it as a statement**

**Why this problem came up?**

**Take one cause**

**Bad management**
- Consider a constraint
- Change team members

**Bad performance**
- high % of team members
- low % of team members

**Could be due to**
- Skill up gradation is required

**Figure: 3.3 Problem Analysis**

The same exercise can be carried out for all problem areas listed by us.
Step 4: Identify possible solutions and growth opportunities

If people are doing their jobs effectively, perhaps they should be left alone. ("If it ain’t broke, don’t fix it") However, some training and/or other interventions might be called for if sufficient importance is attached to moving the people and their performance into new directions. But if people are not doing their jobs effectively –

➢ Training may be a solution, if there is a knowledge problem

➢ Organization development activities may provide solutions when the problem is not based on a lack of knowledge and is primarily associated with systematic change. These interventions might include strategic planning, organization restructuring, performance management and/or effective team building.

3.4 Types of training needs analysis

A thorough training needs analysis exercise comprises six types of analysis.

1. Context analysis: An analysis of the business needs or other reasons the training is desired. The important question being answered by this analysis are – who decided that training should be conducted, why a training programme is seen as the recommended solution to a business problem, what has been the history of the organization with regard to training and other management interventions.

Most organizations are multifaceted entities and an effective training needs analysis process tries to understand specific complexities through a context analysis. This initial phase involves consulting decision makers and generally takes the pulse of the organization. Context analysis involves the organizational analysis or involves the analysis of strategic needs. It has been traditional to look at training needs ‘bottom up’; in other words, to add together the needs of individuals and departments to make an organization-wide training plan. However now it is often considered more effective to begin by looking at the big picture. The long-term training needs of the whole organization.
Organizational analysis looks at the proposed training within the context of the whole organization. A prime consideration is whether or not the proposed training will be compatible with the organization’s strategy, goals and culture, and whether employees will be likely to transfer the skills they learn in training to their actual jobs. Corporate culture compatibility is extremely important for management training and executive development. Efforts to train managers to lead, make decision or communicate in ways that are not valued by powerful others in the work environment are doomed to failure. The impact that the training of one unit has on other related units must also be considered in an organizational analysis. If training is to be provided to a large number of employees through out the organization, the organizational analysis may ask which units should receive the training first. The answer may be the units that need it the most. Alternatively, one may decide to begin with units known to be especially receptive to training in order to develop a record.

2. User Analysis: Analysis dealing with potential participants and instructors involved in the process. The important question being answered by this analysis are – who will receive the training and their level of existing knowledge on the subject, what is their learning style, and who will conduct the training and what do they know about the subject.

To design training materials that fit users backgrounds, it is essential to find information about potential participants and design the training program accordingly to their needs, preferences and abilities. Factors such as education, age, gender and mother tongue influence how people learn. Negative experiences with certain instructional methodologies can create resistance to some approaches to training. The user analysis phase of training needs analysis identifies such potential pitfalls.

Other crucial information gathered at this time pertains to learning styles. People learn differently for e.g. there are four types of learners: visual, auditory, kinesthetic (those who like to get their whole body into their learning) and tactile (people who like to use their hands when they learn). Having identified learners’ preferred styles in the training needs analysis phase, later, the instructional designer can incorporate these findings when developing training material.

3. Work analysis: Analysis of the tasks being performed. This is an analysis of the job and the requirements for performing the job. Work analysis, an
umbrella term coined to include job study, task analysis, performance analysis and competency studies, seeks to specify the main duties and skill level required.

“What is the job under review and what are the main duties?” “What are the skills required?” “To what standards are people expected to do the job?” “Are they currently meeting these standards?” these are some questions answered by a work analysis.

4. **Content Analysis:** Analysis of documents, laws, and procedures used on the job. This analysis answers questions about what knowledge or information is used on the job. “Are there essential building blocks one needs to learn in order to do this job?” “Are these building blocks of knowledge laid out in manuals or other documentation?” “In what order and how are these building blocks taught?” These are some of the questions answered in content analysis. This information comes from manuals, documentation, procedures or regulations which is used to identify topics of instruction. It is important that the content of the training does not conflict or contradict job requirements.

The analysis of content helps to establish a logical flow, ensures that definitions are found for key terms, chunks the data into digestible morsels and ensures that the level and clarity of the content are appropriate to the needs of the users.

5. **Training suitability analysis:** Analysis of whether training is the desired solution. Training is one of the several solutions to organizational problems. However, it may not always be the best solution. It is important to determine if training will be effective in its usage.

“Is non-performance due to a lack of knowledge and skills or are there other reasons?” This is the essential question of a training suitability analysis. Training is often seen as a quick fix for changing individual and organizational performance but in reality the impact of training is limited to providing knowledge and skills and practice to develop them. For example, training will not render competent, those employees who simply do not have the capacity to learn to do a given task. Training will not replace the role of superiors in giving feedback to subordinates whose work does not meet company standards. Training will not set performance standards in a workplace where there are none. Training will probably not bring radical
changes to people's attitudes and sense of commitment. Nor will training create incentives, rewards or reduce on-the-job de motivators.

6. Cost benefit analysis: Analysis of the return on investment (ROI) of training. Effective training results in a return of value to the organization that is greater than the initial investment to administer training.

"Is it worth our efforts to undertake the proposed training?" "What will be the return on investment of the proposed training?" "Are there any costs benefit benchmarks for the proposed training?" These are some of the questions answered through a cost benefit analysis.

In a cost benefit analysis, a hard look needs to be taken at the financial side of training, to determine whether training makes economic sense. Before we can accurately forecast the costs of training, we need to know details about the instructional design process proposed, the training methods, the participants and compensation packages of people associated with the project. Before we can actually forecast the benefits of training we need to know the bottom line benefits of similar programs, since this information will help us forecast benefits from the proposed programme.

Many training needs analysis exercises are strongly oriented to one of the six types, or use one exclusively. For example, some organizations design training programs based solely on information obtained from policy manuals. Clearly, this is a content analysis exercise without the benefits of an analysis of context, users and work performed. The result is a training programme that is restricted to teaching what is in the organization policy manual, with no opportunity to deal with participants' learning styles, or the way the policies are used in the workplace.

Some organizations also conduct an entire training needs analysis exercise based on a work analysis only through focus groups, which results in a high-level description of the work performed, without any understanding of the documentation used on-the-job.

In the ideal case one should use all six types of analysis to collect data in the needs analysis process. The more information one can gather about context, users, work and the content of training – the better prepared one will be to
draw a precise picture of training needs which can lead to a performance improvement oriented training programme and better results from training.
3.5 Techniques for training needs analysis

When examining organizational deficiencies it is important to get a complete picture from many sources and viewpoints. Moreover there is no single system to identify training needs. Each organization needs to create a system that works for that particular environment. What works for a university, may not be effective in a utility or banking organization. An organization could use one or more or a combination of techniques for finding out its training needs. Of course, the desire for quality information needs to be balanced against the constraints of time and resources.

3.5.1 Training needs survey

Survey research is one of the most effective methods a trainer can use to "zero-in" on participants needs long before the start of the training programme. Surveys are usually in the form of questionnaires administered to a random or stratified sample of respondents or an entire population.

Questionnaires may be used for eliciting opinions of the employees on topics like communication, satisfaction, job characteristics their attitude towards working conditions, pay, promotions, policies etc. These will reveal much information about where an employee’s skills and knowledge are deficient. Training needs questionnaires are also administered to ascertain the relative importance of the tasks to be covered under the training programme and also for implications of future planning.

Surveys can be limited to a part of the organization, or can be company-wide. They can be focused or a single activity, or beamed at a combination of activities.

Surveys can either be open-ended or close-ended. An open-ended survey is one where the question leaves room for the survey taker to answer in complete sentences and ideas. A close-ended survey has questions that allow the survey taker to answer with only one response - their options are pre-determined and closed. In general, open-ended questions are easier to develop than closed ended questions. The answer to closed ended questions are easily quantified; the answer to open-ended questions are much more difficult to quantify. Open-ended questions are most useful for the early
stages of “theory development” and less useful when trying to precisely narrow down participant needs.
A good rule-of-thumb is to use open-ended survey questions to identify, in bound strokes, the general scope of participant needs. Then using closed ended questions mailed to participants, test the initial scope of needs and quantify the results as much as possible. This “one-two” punch of surveys is very helpful when attempting to accurately determine participant needs. While generally easy to use, questionnaires should be constructed with the utmost care. They should be targeted to a specific audience about a specific content area and use a mixture of open and closed questions.¹

Surveys can be especially useful instruments when you need quantifiable data to determine precise components of a training program. If the issue in question is technical in nature (e.g. Computer skills, safety procedures, legal mandates etc.) then survey research can help you focus on specific training needs. If, however, the issues in question involve interpersonal dynamics and/or conflict, survey research may not generate the type of rapport so useful when training designers actually take time to sit down and listen to potential participants (as in interviews).

Surveys may be self administered (by mail) under controlled or uncontrolled conditions, or may require the presence of an interpreter or assistant. Mailed questionnaires suffer low return rates, guiding responses or unintended and/or inappropriate respondents.

Benefits
Surveys can reach a large number of people in a short time. When a large no of potential trainees are involved or when they are geographically dispersed, a sub sample may be selected for needs assessment or the questionnaire can also be used for a wider distribution. An important advantage of methods that involves large number of potential trainees in the assessment phase is that such early participation may enhance acceptance and commitment to the eventual training product.²
Survey research helps the trainer identify with a high degree of certainty, the appropriate level of intervention. In addition survey research allows


potential trainees to participate in the development of the training they will eventually attend. Surveys are also relatively inexpensive and yield data that can be easily summarized and reported. Surveys give opportunity of expression without fear of embarrassment.

Disadvantages
Surveys are rather impersonal and make little provision for free expression of unanticipated responses. They require substantial time and technical skills for development of effective instruments. They are of limited utility in getting at causes of problems or possible solutions. Response rate can be low and those who do not respond can skew results with biased data.

3.5.2 Interviews

According to Scott and others, “an interview is a purposeful exchange of ideas, the answering of questions and communication between two or more persons.”

The interview is a technique which enables to view the total individual and directly appraise him and his behaviour. It is a method by which an idea about an individual’s personality, including his intelligence, breadth of interests, and general attitude towards life can be obtained by face-to-face contact.

Interview is a very widely used tool. In practically all organizations interviewing is used for a variety of purposes, including selection, appraisal, training needs assessment, disciplinary action, counseling and general problem solving.

Individual or group interviews with superiors, target individuals or even clients are a good means of gathering information on performance discrepancies and perceived training needs. Interviews provide an excellent way to get diverse input from employees regarding their attitudes, beliefs,

---

and expectations. To get a balanced view, many employees must be interviewed.

Interviews may be formal or casual. Formally, a training practitioner may feel training is needed in an organizational unit. To get information, he may arrange a formal meeting with the departmental head or other relevant persons or groups. In preparation for this meeting he lists pertinent questions. At the meeting, he employs interview technique. Referring to this list of questions, he asks each in turn, writing down the answers for future study.

Informal or casual interviews are often done as and when you meet people and you greet and talk informally to them. Out of these conversations may come clues to training needs which might not come to light in any other way. The practitioner must look consciously for these signals, for they may not be loud and clear.1

Interviews may also be structured, unstructured or somewhere in between. A structured interview is based on the assumption that to be most effective, every pertinent details bearing on what is to be accomplished, what kind of information is to be sought or given, how the interview is to be conducted, and how much time is to be allotted to it, must be worked out in advance. Questions are asked in a particular manner, with very little deviation. If an individual wants to discuss something he is swiftly guided back to the prepared questions. Such interviews are also called standardized interviews, for they are preplanned to high degree of accuracy and precision.

An unstructured interview has a relatively non-planned format. In such an interview the individual is asked some very general questions, and he may reply to these in any way he likes. In other words, the interview is not directed by questions or comments, the interviewee is encouraged to express himself on a variety of subjects, on his expectations, motivations, and problem areas, which may indirectly provide clues to training needs.

Other types of interviews (employment, transfer, promotion etc) used in organizations also help in needs assessment. One quite helpful is the ‘exit

interview’. During this “last talk” a person leaving the company is in a position to suggest how things could be better. Some of these may point directly to training needs. Interviews may be used with a sample of a particular group (board, staff, committee) or conducted with everyone concerned. They can be done in person, by phone, at the work site, or away from it.

**Benefits**
Interviews are adept at revealing feelings, causes of and possible solutions to problems which the individual or organization is facing or anticipates. They provide maximum opportunity for the individual to represent himself spontaneously on his own terms, especially when conducted in an open-ended non-directive manner.

**Disadvantages**
Interviews are usually time consuming. It can be difficult to analyze and quantify results from interviews, especially from unstructured formats. Unless the interviewer is skilled, the interviewee can easily be made to feel self-conscious and much useful information may not be extracted. Therefore, this technique relies for success on a skillful interviewer who can generate data without making the interviewer feel self-conscious, suspicious etc.

### 3.5.3 Observations

One useful method of gathering data is to watch people at their place of work. The training practitioner has freedom of movement throughout the organization. During his travels, he can observe anything. Some of these may have value as indicators of training needs, especially needs which are just under the surface or emerging.

These observations may be conducted in a structured manner. Employees may be assigned tasks and then observed as to whether they can perform them satisfactorily. They may be as unstructured as walking through the offices on the lookout for evidence of communication barriers, can be as technical as time and motion studies or as functionally or behaviourally specific as observing a new board or staff member interacting during a meeting, can be used normatively to distinguish between effective and ineffective behaviours, organizational structures, and/or process. Observations can be made by either a non-participating observer or
participant observer. A non-participant observer can be more objective, but sometimes activities are too private or the people being observed are too defensive to allow an outsider to observe. It is important that the person making the observations is able to record what is seen objectively so the data collected truly reflects what is occurring.

**Advantages**
Minimizes interruption of routine work flow or group activity. Generates *in-situ* into data, highly relevant to the situation where response to identified training needs/interest will impact. When combined with feed back step, provides for important comparison checks between inferences of the observer and the respondent.

**Disadvantages**
Requires a highly skilled observer with both process and content knowledge, unlike an interviewer, who needs for the most part, only process skill. Carries limitations that derive from being able to collect data only within the work setting. Holds potential for respondents to perceive the observation activity as spying.

**3.5.4 Review of existing documents**

Existing records and reports are examined for information about training gaps. Can consist of organizational charts, planning documents, policy manuals, audits and budget reports. May include employee records like grievances, turnover, accidents etc. May include minutes of meetings, weekly and monthly programme reports, memoranda, customer service records and complaints, programme evaluation records.

Clues to training needs can be found in the many kinds of factual data at hand in every company. For instance, the employee relations department will have statistics on costs, work rejects, work schedules, production activities, service calls, waste, rework, and maintenance. Research and development, sales, engineering, legal, finances public relations will have their own particular records.

These data record conditions, as they exist. They also help to indicate trends. Analysis will yield information about "why". This information can show
what kind of additional knowledge, skill or understanding may be needed by individuals or groups i.e. training needs.

As another type of factual data, reports are usually more narrative and detailed in style than typical statistical records. Reports can reveal training needs, but the training practitioner may have to dig for clues. Regular reports such as those on production, sales, and performance may require less digging than special reports on organization development, product development, research or market development.

Plans are a constant source of clues to future training needs. Long-range plans reveal needs permitting adequate preparation i.e. long range training planning. Here preventive training can be done. Short-range plans reveal needs requiring more immediate action, even corrective training.

New policies about to be introduced and old policies which are being revised can pose problems of communication or performance standards. Before implementing these policies, additional skill, knowledge or understanding may be needed by those concerned. If so we have training needs.

Records of organizational audits that were conducted can be examined. Such audits focus on the results of activities, efficiency and effectiveness of the organization systems and subsystems. The discrepancies exposed and potentials that emerged from the results of the audits can be analyzed. While determining the trends and variations from the audits, a need inventory may be prepared.

Many companies have a formal procedure through which an individual or group may bring to managers attention any condition or problem they feel exists to the detriment of all concerned. An analysis of these written grievances may indicate training needs, especially in aspects of supervision, administration of policies or operating procedures.

From time to time in any organization individuals or groups can feel something just is not right. The dynamic nature of work makes this possible. Often this restlessness or dissatisfaction takes the form of a complaint. Some of these complaints are verbal, some written. Analyzing these complaints can reveal needs for additional skill, knowledge or understanding on the parts of individuals or groups. In short, they identify training needs.
From time to time management, employees make *formal statements* in meetings, from the platform, or in company or other publications. Read closely, these statements can suggest training needs, even though obliquely. Sometimes management forwards *written requests* for specific kinds of training for individuals or groups. These requests identify training needs. Requests sometimes follow a crisis or come just before a crisis seems eminent. Thus, corrective training is mounted. Requests also may come as a result of advanced planning in an organizational unit. Problems of implementation can be anticipated. Thus, preventive training to get people ready can be designed.

Different in a sense from requests or statements, *suggestions* regarding training needs may come to a training practitioner. They may even be framed as a question. Some companies maintain a "coin-your-ideas" or other formal program which encourages employees to make suggestions for the good of the enterprise. Some of these suggestions contain clues to training needs.

**Advantages**

One advantage of this form of data is that is often readily available and it can provide useful background information. It can be collected with minimum effort and interruption of workflow since it already exists at the work site. Provides excellent clues to trouble spots along with objective evidence.

**Disadvantages**

The review of documents may be time consuming and yield considerable unrelated data. The data may carry perspective that generally reflects the past situation rather than the current one or recent changes. Cause of problems or possible solutions often do not show up. A skilled data analyst is required if clear patterns and trends are to emerge from such technical and raw data.

3.5.5 Print Media

Media readily available to the public is studied for clues leading to training deficits which may be present. These include professional journals, legislative news/notes, industry ‘rags’, trade magazines, in house publications etc.
Business professional journals carry articles dealing with many aspects of free enterprise, from research through production to marketing plus space given to events and trends in the supporting staff activities. Often these articles deal with personnel utilization, from research in the behavioural sciences to ways companies improve productivity through training and development activities of various kinds on all levels. Reading these articles can give you clues to training needs in your own organizations as you learn what others are doing or have done about problems similar to the ones in your company. A gold mine of such information is found in 'Training and Development' a journal by the ASTD.

A traditional source of ideas, books increasingly are becoming available in the field of personnel utilization. Titles range over a wide spectrum of subjects, from applications of the results of research in the social and behavioural sciences to management functions. Some of these books report examples of successful experience with applications of training and development techniques and procedures in improving productivity by solving growth needs of individuals and groups. Through transposition and implication, these reports can identify clues to training needs in any organization and suggest solutions through adaptation. Because of the time it takes to write and publish a book, the content of may lag somewhat behind the contents of articles and magazines. However good authors carefully research many sources including journals.

By tapping into these sources a lot of time and energy can be saved and experience of other organizations in determining training needs can enrich your own. These sources also provide info which is current. But it can be problem when it comes to the data analysis and synthesis into a useable form. By keeping in touch with these sources, a training specialist can compare what he is doing with what others are doing or have done. He can learn about new ways to handle old problems, keep up-to-date on new techniques and procedures, and fight his own obsolescence.

3.5.6 Key consultations

Consultation with key persons is conducted to learn about training needs. Secures information from those persons who, by virtue of their formal or informal standing are in a good position to know what the training needs of a particular group are. These people could be Board Chairman, department
heads, members of professional associations, external consultants related service providers. Once identified data can be gathered from these consultants by using techniques such as interviews, group discussions, questionnaires etc.

Key consultations are relatively simple and inexpensive to conduct. Permits input and interaction of a number of individuals each with his or her own perspectives of the needs of the area, discipline, group etc.

But these consultations may levy a built-in bias since they are based on the views of those who tend to see training needs from their own individual or organizational perspective. May result in only a partial picture of training needs due to the typically non-representative nature (in a statistical sense) of a key informant group.

3.5.7 Tests

A test has been defined both in a broad and narrow manner. Broadly it has been defined as “a systematic procedure for comparing the behaviour of two or more persons”. In a narrow sense, “it is a sample of an aspect of an individual’s behaviour, performance or attitude”. We may define it as a systematic procedure for sampling human behaviour.¹

Tests are used for the purpose of making a differential placement or assignment of a person to the job for which he is most suitable; for selecting candidates for assignment to a company-training programme; and for assisting an individual employee in solving his problems.

Testing is a well-established method of determining training needs. Tests can measure skill or knowledge. Some even are said to measure attitude. Tests can require a performance response (the manipulation of tools, materials or equipment) or can require a written or oral response. Results indicate gaps, if any, in the employee’s skill or knowledge, thus suggesting training needs.

Among written tests many feel the objective type is the best. This is a forced choice media requiring the employee to underline a word or phrase, circle an item, writing a missing word, and so on. They are easy to administer but challenging to compare.

A test should have the following characteristics:

1. **Validity** — Validity refers to the extent to which a test measures what it is designed to measure. Validity may be of four specific types:

   a) **Content validity** — It indicates how well the content of the test, as a sample, represents all the situations that could have been included.

   b) **Predictive validity** — It is the degree to which there is a relationship between scores on a test and some future behaviour, which is required of a person if he is to perform successfully on the job.

   c) **Concurrent validity** — It is the extent to which test scores are related with a job behaviour measure that is available at the same time. If employees in the organization are divided into two groups, high performers and low performers, they could be given a standardized test. If it is found that high performers scored significantly above low performers, then the test is said to have concurrent validity and could be used in predicting high performers among new applicants.

   d) **Construct validity** — It is the most difficult type of validity to understand and to prove. It reflects the extent to which the test measures the psychological quality like “intelligence” or “introversion” it is supposed to measure. It is most theoretical type of validity since it is aimed at measuring the relationship between a test and an artificial abstraction or “construct” such as intelligence.

2. **Reliability** — The reliability of a test means the tests ability to give consistent results. Test reliability is the “consistency of scores obtained by the same person when re-tested with the identical test or with an equivalent of the test”. Test consistency is very important if a person scores 80 on an intelligence test on Sunday and 120 when retested on Monday, the test cannot be relied upon in that case.
3. **Standardization** – a test must be standardized – that administered under standard conditions to large group of persons who are representative of the individual for whom it is intended. This is done to obtain norms or standards so that an individual’s score can be compared to the scores of others in the representative sample of people or a defined group like college students, adults etc.

4. **Objectivity** – To be reliable a test must be constructed in such a fashion that two or more persons can score the responses to items, questions or tasks in the same way.

Tests can be especially helpful in determining whether the cause of a recognized problem is a deficiency in knowledge or skill or by elimination, attitude. Results are easily quantifiable and comparable. Tests can be functionally oriented (like observations) to test a board, staff or committee member’s proficiency. Tests may be used to sample learned ideas and facts.

### 3.5.8 Group Discussions

A researcher may observe a group discussion as a method to gather information about training needs. The researcher may facilitate the interview discussion process as a participant observer or may simply observe the discussion underway.

Resembles face-to-face interview technique e.g. structured or unstructured, formal or informal or somewhere in between. It can be focused on job (role) analysis, group problem analysis, group goal setting or any number of group tasks or themes (e.g. “leadership training needs of the board”).

Uses one or several of the familiar group facilitating techniques like, brainstorming, buzzing, case study etc.

### 3.5.9 Brainstorming

Some training practitioners find brainstorming a helpful way to determine training needs, especially of a group. The procedure is simple –
1. Bring together a homogenous group (salesmen, engineers, supervisors, executives, others)

2. Place in front of them on a black board or flip chart a question of common concern. Phrase it as a “how to” question.

3. Ask individuals in the group to call out any ideas they have for answering the question. Write these ideas on the blackboard or flip chart as fast as they are called out. Don’t be judicial, don’t try to organize the list. All you want at this point are ideas. Announce a time limit, e.g. five minutes.

4. When time is up, examine the list. Identify items which call for additional knowledge, skill or attitudes. These are training needs. Note that some ideas may bear on other needs such as changes in organization policies and procedures. These are valuable clues to productivity improvement opportunities outside the training sphere.

3.5.10 Buzzing

Buzzing is a group dynamic technique used to tap the thinking of a group for possible solutions to a common problem, to develop a procedure etc. It consists of dividing the audience into small groups of four to five persons. Each group chooses one of its members as chairman and another as recorder. At a signal each group starts to discuss the question at hand. The chairman keeps things moving. The recorder writes down all the ideas that are generated. At the end of the period (ten to twenty minutes) the groups reassemble. Then the chairman of each group reports from his recorder’s list what his group has produced. Each item is written on a blackboard or flip chart. As the group reports, some items will be duplicated. These duplications are shown by adding a mark after the original statement. When all groups have reported, final ideas are added from the floor. Later the list classified for further use.

Buzzing can be used to identify training needs. For instance, an audience of supervisors, managers, professional personal or others (as long as it is homogeneous) can be given a question such as, “What are desirable next steps in our training?” or “what additional areas of knowledge (or skill or
understanding) do we need to handle our work better during the next project or period?”

3.5.11 Case studies

These are structured to challenge a learner to solve a case or problem situation carefully described in writing. Analysis of a case and the development of possible situations to the problem it presents can reveal gaps in a person’s skill or knowledge or understanding. These gaps are training needs. Many cases are available from commercial sources. Some companies develop their own cases to meet specific situations unique to their environment.

The group discussions permit on the spot synthesis of different viewpoints. Help in building support for the particular training response that is ultimately decided on. Helps participants to become better problem analysts, better listeners etc.

It is a time consuming method and can produce data that are difficult to synthesize and quantify (more a problem with the less structured techniques)

3.5.12 Card sort

This is a forced choice procedure. A batch of 3X5 cards (usually no more than 10) is typed up with a single job related “how to” statement on each. Each statement is a potential training need. These cards are then handed to the person whose ideas are sought. He arranges these cards in what he feels is their order of importance for him. For a group departmental heads, for instance the cards might read: “How to plan”; “How to organize”; “How to assign work”; “How to write reports”; “How to delegate”; “How to understand the labour contract”; “How to train”; “How to stop tardiness”; “How to get more cooperation”.

The arrangement of these cards gives clues not only to training needs but also to the order in which the sorter feels they should be met. If several people have arranged the cards, make up a chart showing the distribution of desires.
3.5.13 Checklist

A job, process, program, activity, or area of responsibility is broken down into a list of detailed parts or steps arranged in a logical sequence. A column to the right is provided for checks. A copy of this list is given to each person whose ideas are sought. He checks off the items about which he feels he would like to have more skill or knowledge. If several people are involved their responses subsequently are plotted on a distribution chart. Thus, training needs of the person or group are identified.

Lists of all kinds can be made. One for managers might include basic function such as planning, organizing, operating, controlling and their elements. One for salesmen might include preparation for a call, presentation of the pitch, closing the sale, report writing and their elements. One for budgeting might include preparation of assumptions, analysis of goals, allotting time units, pricing units, and their elements. The important thing is to be sure the items are work related, so training needs can be shown in terms of skill or knowledge.

3.5.14 Committee

An advisory committee composed of persons responsible for, or with a direct interest in an activity can identify training needs with considerable accuracy. Some organizations have a company-wide training advisory committee. Others may have a committee for each area of training - orientation, apprentice, sales, clerical, technical, pre-supervisory, supervisory, management, executive. In some organizations each separate course has its own committee.

A training advisory committee helps the practitioner to analyze operating problems for training purposes, construct curricula, audit instruction or evaluate results. The personnel of the training advisory committee should be selected carefully. Each member should have a personal stake in the success of the activity for which the committee is responsible. This suggests that a key manager (policy, relationship) and a top operator (subject matter authority) should serve on the committee. Other persons can be added as need indicates.
3.5.15 Task force

A small group of selected personnel, usually two or three, is relieved of regular duty to spend full time solving an assigned problem. In analyzing the problem, the task force may unearth training needs which must be met before their recommended solution to the problem can be implemented. Their final request identifies these training needs.

3.5.16 Counseling

Counseling is often a discussion between a training manager and a person seeking guidance regarding ways he can improve his on-the-job performance or prepare for advancement. Outcomes may include agreements on what kinds of additional knowledge, skill or understanding (insight) the counselee may seek. An especially fruitful counseling opportunity exists during the post appraisal discussion between an employee and his superior. The appraisal has been work-centered. The discussion is dedicated to an identification of growth needs, and agreements on how these needs will be met.

Counseling itself generates a training need, for anyone responsible for the work of others, e.g. all managers. To do counseling satisfactorily calls for training in counseling techniques plus periodic refreshers.

Increasing use of counseling is now made in planning careers or dealing with career problems. It is especially appropriate at career crossroads' initial choice of vocation, mid-career crisis and plateauing, and when preparing for retirement. We should not think of counseling as of help to only those who have lost their job; it can be helpful to anyone who wishes to get the best from their career. Counseling will usually throw up needs of training, and if it has been thorough, the results are likely to be very accurate.

3.5.17 In-basket

The “in-basket” involves a training procedure which gets its name from the nature of the exercise. It used to measure or test a manager’s ability to handle some of the day-to-day challenges which come to him in writing from various sources. These challenges show up in his “in-box” usually a
box on his desk into which messengers, his secretary, or others place letters, memorandums, reports, notes, requests, directions etc for his attention. During an in-basket session, the participant is given a large envelope containing prepared in basket items. During a time period (for instance, thirty minutes) he handles as many of these items as possible by writing on each piece of paper what he decides to do about the matter it contains. At the end of the time period, his decisions are discussed. Clue to training needs may emerge.

3.5.18 Incident pattern

Over a period of time, everyone's behaviour fluctuates above or below his optimum level of performance depending upon how he handles emergencies or unusual challenges. Under the incident pattern, these responses to special situations are noted in terms of success or failure in each situation. At the end of a reasonable period, perhaps one year, this pattern of deviation is studied. If certain types of situations are seen to produce inadequate behaviour, these can be analyzed to determine what additional knowledge or skill the individual needs to handle these situations successfully.

3.5.19 Role playing

Role playing is a training procedure featuring two or more persons playing assigned parts or roles in a “playlet” simulating a real life situation dramatizing a present or emerging problem (operating, communication, interpersonal skills etc.) How each role player handles himself under the pressure of the situation can give clues to his training needs in a skill, an area of knowledge or in understanding or attitude.

3.5.20 Simulation

Simulation is also known as business or management gaming. Games are structured to permit teams of players (each taking a role) to compete with each other in managing a company, conducting a campaign, carrying out a function or otherwise performing conditions which demonstrates possession (or lack) of decision making ability. Some games are designed to simulate
several years of operation in a few hours or days. Analysis of performance can reveal individual and/or group training needs.

3.5.21 Skills inventory

Some companies establish and annually update an inventory of the skills of their employees. Listed are the skills these employees currently are using on their present job, plus other skills they possess which have value for other jobs. This inventory permits flexible use of manpower, especially under expansion or reorganization. It also identifies gaps or blind spots in reserve or stand by skills. This gap gives clues to training needs.

3.5.22 Job Analysis

It is the systematic investigation of job context, the physical circumstances in which the job is carried out and the qualifications needed to carry out job responsibilities. It involves breaking down a job into logical parts and identifying the knowledge, skills, and attitudes required to perform the job correctly.

A job analysis provides the following information:

- A list of all activities (tasks) involved in the job
- Frequency and duration of each task
- Procedures used
- Tools and equipments used
- Physical work conditions like exposure to heat, dust, toxic substances, health hazards risks etc.
- Kind of supervision required
- Relationship with internal and external people
- Physical effort required to perform the jobs
- Work experience, specific knowledge, skills, abilities, aptitude required to perform the job.

The categories of information usually obtained in job analysis include what activities are performed and how, when and why, the machines. Tools or equipments used; what interactions with others are required; the physical
and social working conditions; and the training skills and knowledge required on the job.

Process of job analysis

Step 1: Collection of background information
Background information about a job can be collected from organization charts, class specifications and existing job descriptions if any. Organization charts show how the job in question relate to other jobs and where they fit into the overall organization. Class specifications describe the general requirements of the class of job to which the job under analysis belongs. The existing job descriptions provide a starting point from which to build the revised job description.

Step 2: Collection of job analysis data
This step involves actually analyzing a job by collecting data on the features of the job, required employee behaviour and qualifications to perform the job. This information can be collected by observing people at work or by interviewing them or subjecting them to a pre-designed questionnaire. Knowledge about the job can also be collected by interviewing subject matter experts (SME’s) who have experience and expertise in the job under analysis.

Step 3: Developing a job description
The information collected is to be developed in the form of a job description. This is a written statement of the contents of the job in terms of functions, duties, responsibilities, operations etc. The job incumbent is expected to discharge the duties and responsibilities and perform the functions and operations as per the standards listed in the job description.

Step 4: Developing a job specification
This step involves the conversion of the job description statements into a job specification. Job specification or job requirements describe the personal qualities, traits, skills, knowledge, background required by the job incumbent to perform the job to a minimum standard. Since job descriptions provides information on standard requirements in terms of knowledge, skills, abilities and specific areas of training, these can be compared with the actual knowledge skills, abilities of the job incumbent to reveal a ‘gap’ which could be useful in determining training needs.
3.5.23 Competency studies

Competency studies have become synonymous with training need analysis. Competency studies provide high level data about the work expected of target group members whose training needs are being identified. In that sense competency studies fill the useful role of focusing training needs identification on employee performance.

Competencies are general descriptions of the abilities needed to perform a role in the organization. Competencies are described in terms such that they can be measured. It is useful to compare competencies to job descriptions. Job descriptions typically list the tasks or functions and responsibilities for a role, whereas competencies list the abilities needed to conduct those tasks or

---

functions. Consequently, competencies are often used as a basis for training by converting competencies to learning objectives.\(^1\)

Competency is the state or quality of being adequately or well qualified to perform task. It is synonymous with ability. A person gains competency through education training experience or natural abilities. While there are many definitions of competency, most of them have two common components:

- The competencies are observable or measurable knowledge, skills, and abilities (KSA)
- These KSAs must distinguish between superior and other performers.

Many definitions of competency include attitudes such as beliefs, values, traits and motives.\(^2\)

Competencies only include behaviours that demonstrate excellent performance. Therefore, they don’t include knowledge but do include “applied” knowledge or the behavioural application of the knowledge that produces success. In addition, competencies do include skills, but only the manifestation of skills that produce success. Finally, competencies are not work motives, but do include observable behaviours related to motives.\(^3\)

---

\(^1\) Carter, McNamara, “Specifying Job and Role Competencies”, http://www.mapnp.org/library/staffing/
\(^3\) http://www.schoonver.com/Resource_Center
Figure: 3.4 How competencies differ from skills and knowledge

An integrated view sees competence as complex combination of knowledge, attitudes, skills and values displayed in the context of task performance. (Gomez 1997, Hager 1995). This approach recognizes levels of competence – entry/novice, experienced, specialist – rather than a once and for all attainment.¹

Competency Based Human Resource Management (CBHRM) identifies and assesses different competencies that make up an individual's overall competence and matches them with required job and/or organization competencies, knowing which competencies are required as compared to which competencies are available to an organization can help inform and

direct HRM interventions related to compensation, recruitment, promotion, training and organizational culture.

Hendry and Maggio (1996) suggest that when competencies are linked to the broader goals of an organization, the following common elements emerge as outcomes of a comprehensive competency model:

- Identification of characteristics and behaviours that differentiate top performers from others in relation to their strategic objectives.
- Clarification, communication, assessment and development of characteristics that focus individuals on core organizational goals.
- Practical observation helps prescribe and validate behavioural descriptions that achieve desirable results.
- Descriptions of skills, attitudes, traits and behaviours that can be attached to pay, performance measurement, hiring criteria, training, organizational staffing, career development and succession planning.

**Difference between job based and competency based models**

The major difference between traditional job-based models and competency based model lies in their approach in identifying KSA needed for successful performance. The dominant approach in human resources has focused on designing organizations around job structures. This traditional job based approach starts with a job analysis to identify job related tasks, which are then used to identify a list of KSA that are required for successful job performance.

On the other side of the coin are competency-based models. These start with observable behaviours of superior performers to produce a list of grouped competencies, or behavioural indicators, related to effective or superior performance. The question is not which KSAs do we believe are required to perform a job, but which KSAs do superior performers possess and use? Organizational success greatly improves upon hiring individuals who fit the organization rather than the job. A person to organization match provides an organization with the core competencies needed to maintain a competitive

---

advantage by meeting the demands of a rapidly changing environment brought on by corporate restructuring and change initiatives.

**Competency Mapping Process or Competency Profile Development**

Competency mapping is the process by which the required competency levels for any specific role or position in the business are defined. The key process is the development of a gap analysis – in simple terms, the difference between the required competency level and an individual’s present level.

Competency profile development can be handled in a number of ways, two of which are the top-down and bottom-up approaches. The top-down approach generally involves picking, based on a strategic analysis of the organizations performance objectives, an array of competencies from a dictionary of competencies and assessing those for a particular position or class of positions. The shortcoming associated with this approach is that the competencies survey is carried out as an additional step, separate from the creation of the profile. The top-down process has the potential to reduce the applied face validity of the profile, and subsequently reduce employee buy-in.

The bottom-up approach on the other hand involves exploratory checklist surveys and subsequent confirmatory interviews to derive the competencies from the employees, thereby increasing the face validity and simultaneously developing the assessment questions to lap into them. In addition to these potential benefits, this approach may result in employees being directly involved in the development of competency profiles that will describe behaviours that are relevant to their tasks. This is useful for gaining employee understanding of, input to, buy-in and loyalty to the process (North, 1993)\(^1\)

---

The competency Mapping process consists of the following steps:

**Step 1: Specification determination**

Positions to be mapped are identified. A preliminary project plan is developed during this step to ensure that all key stakeholders are involved in the process and that appropriate activities and communication plans are established to support the development of the maps.

**Step 2: Data Collection**

Information is gathered to identify the attributes and competencies required for each position. Data is collected to determine the skills, abilities and personal traits required for success in the position being mapped. This data can be collected through one-on-one interviews with job content experts, focus groups with incumbents and their superiors, internal and external interviews, questionnaires and surveys.

The competency set emerges from 3 key stakeholders, therefore, each job has 3 sets of competencies:

a) Competency set related to the organization mission/strategy/vision
b) Competency set related to internal and external customer expectations.
c) Competency set related to departmental focus areas.

**Step 3: Competency Development or Defining Competencies.**

All information gathered in the data collection phase is analyzed. Attributes and competencies are identified and behavioural descriptions are created for each. In addition optional areas of performance are identified according to organizational and market requirements. The competencies identified have to be defined concisely in order to reduce misinterpretation. The definition also includes key behavioural indicators.

E.g.: - **Competency – Customer Service Orientation**

Definition and behaviour:

*Definition:* Responds to customer’s needs in a manner that provides added value and generates significant customer satisfaction.
Behaviours:

- Demonstrates a deep understanding of internal and external customers and their needs.
- Mobilizes the appropriate resources to respond to customers needs.
- Takes personal responsibility for customers needs.
- Builds credibility and trust with the customer through open and direct communication. (e.g. uses effective listening skills, provides timely feedback etc.)
- Ensures that customer believes their issues and concerns are given highest priority.

In contrast to job description, competencies do not include "base line" skills and knowledge and job tasks. (i.e. commonly expected performance characteristics such as finishing assigned work, answering the telephone, writing follow up letters, etc.)

Step 4: Defining Measurement Scale

The expected calibration on the measurement scale for each competency is defined for a particular position.

Step 5: Position Profiling

A competency profile for each position is generally composed of five to ten competencies but can include as many or as few as are required to accurately reflect performance variations in the position. For example, a competency model for a public servant may include initiative, cooperation, analytical thinking and a desire to help the client.

To generate superior performance, jobholders need core competencies that allow them to quickly jump into other jobs and distinctive competencies to perform in specific positions. This requires the profile to have 3 sets of competencies: ¹

- Essential: The first set of core or essential competencies. These are the organizational competencies that all individuals are expected to posses. These competencies define what the organization values the most in people. For example an organization might want each

¹“Introduction to competencies”, http://www.nwlink.com/~donclark/hrd
individual to possess teamwork, flexibility and communication skills. The goal of the core competencies is for individuals to be able to perform in a diverse number of positions throughout the organization.

- **Vital:** The second set is the professional or job specific or individual competencies. These distinctive competencies are grouped for each job within the organization. For example a trainer requires a different set of competencies than an accountant and a teller requires a different set than a maintenance worker. If there are different levels within the same position, then each job level might also have its own set of vertically derived competencies. The goal is to optimize performance by having the technical skills to perform a job.

- **Specialty:** Some jobs also require a third set of specialty competencies. For example, managers require the core and professional competencies discussed above, plus a set of leadership competencies since they occupy a leadership position. Another example would be individuals trained to give medical aid in emergencies. They would require the core, professional and first aid

**Step 7: Person Profiling**

Each person is profiled in terms of level of knowledge application and attitudes on the measurement scale of each competency. The superimposing of the person profile on the position profile reveals gaps that may be pointers to training needs or other Human Resource interventions.

**3.5.24 Performance Appraisal**

Performance appraisal is defined as a formal, structured system of measuring and evaluating an employee’s job related behaviours and outcomes to discover how and why the employee is presently performing on the job and how the employee can perform more effectively in the future so that the employee, organization and society all benefit. Performance appraisal may be understood as the assessment of an individual’s performance in a systematic way. The performance being measured against such factors as job
knowledge, quality and quantity of output, initiative, leadership abilities, supervision, dependability, cooperation, judgment, versatility, and the like.

In addition to assisting in such matters as making compensation and promotion decisions and in providing feedback on performance, the results of the appraisal process can supply useful data about the success of other personnel activities such as recruiting, selection, orientation and training. If for example, the appraisal process reveals that significant numbers of employees are deficient in some area of skill or knowledge, a training program can be designed for them.

Performance appraisal can determine the training needs of individual employees. If particular employees are not performing up to expectations, a training program may enable them to correct any skill or knowledge deficiencies. Employees who are performing well above the requirements of the position can be placed in a development programs that will prepare them for promotion to a higher-level job. Performance appraisal also supplies information useful in developing training programs that will fit the needs of most employees. For example if employees’ communication skills are rated uniformly low, the company can develop a program to address their need.

*Multi rater Assessments (MRAS) or 360 degree appraisals*

First developed at General Electric, US in 1992, the system has become quite popular. In our country too, GB(India), Reliance Industries, Crompton Greaves, Godrej Soaps, Wipro, Infosys, Thermax, Thomas Cook and various others are using the method. An Arthur Anderson survey (1997) reveals that 20% of the organizations use the 360 degree method.¹

MRA’s involve identifying key direct reports (such as peers, internal customers, the employee’s manager, subordinates, and the employee’s manager’s manager) to participate in a performance evaluation. In the 360 degree appraisal system, appraisal is made not only by superiors, but also by subordinates, peers, clients, employees themselves and consultants. This form of appraisal is supported on the grounds that several people who know

the subject of the rating or are associated with him can provide more data than the superior alone.

Superiors, peers, subordinates and employees themselves typically differ in their ability to appraise various dimensions of performance. These raters observe different behaviours and may interpret them with divergent standards. Each source has access to unique information about performance. Perhaps the best approach is to use as many different sources as possible to maximize the breadth of information and cancel out biases unique to a particular source. Appraisal from various sources help to eliminate bias that may creep in when the person is being appraised only by his superior. Although 360 degree appraisals are being used by many firms, they are most successful in organizations that offer open and participative climate, along with active career development system.

An MRA is an assessment tool that involves each employee in developing a performance enhancement plan. From this information, companies can identify potential training programs and can evaluate programs.

Assessment Centers

This method of appraising was first applied in the German Army in 1930. Later business and industrial houses started using this method. First used in the US and UK industries in 1943, the assessment center is gaining popularity in other countries. Crompton Greaves, Eicher, HLL and Modi Xerox are using the technique with results being highly positive. Mainly used for executive hiring assessment centers are now being used for evaluating executive potential and also to produce profiles of the skills of their employees and their training needs.

An assessment center is a central location where managers come together to have their participation in job related exercises evaluated by trained observers. Under this method many evaluators join together to judge managers performance in several situations with the use of a variety of techniques.

---

Individuals from various departments are brought together to spend two to three days working on individual and group assignments similar to the ones they will be handling when promoted. The executives are requested to participate in in-basket exercises, work groups, computer simulations, role-playing and other similar activities which require the same attributes for successful performance, as in the actual job. After recording their observations of ratee behaviours, the raters meet to discuss these observations. The decision regarding the performance of each asssessee is based upon this discussion of observations.

The characteristics assessed in a typical assessment center include assertiveness, persuasive ability, communicating ability, planning and organizing ability, self confidence, resistance to stress, energy level, decision making, sensitivity to the feelings of others, administrative ability, creativity, mental alertness, interpersonal competence and motivation to work.

Evaluators are drawn from experienced managers with proven ability at different levels of management. They evaluate all employees both individually and collectively. A summary report is prepared by the members and a feedback on a face to face basis is administered to all candidates.

The problem with assessment centers is their cost. Not only are the assesses away from their jobs while company pays for their travel and lodging, but the evaluators are often company managers who are assigned to the assessment center for short durations. The managers are often supplemented by psychologists and HR specialists who run the center and also make evaluations. Hence, this approach is cost effective only in large organizations. Since they are expensive they are mostly used for senior personnel and those who may have potential for top management – the 'high fliers'.

Appraisal systems are one of the most common methods of establishing individual training needs and when used properly can be effective.

3.6 Conclusion

There are many ways of determining training needs. Each has its advantages and disadvantages. Each can be tailored to meet a specific situation. They can be used singly or in combination. The terminal objective is to determine
what additional skill, knowledge, or understanding an individual or group needs to be more productive.

When deciding which data collection method to use a number of factors should be considered:

➢ Cost
➢ Time
➢ Location of employee
➢ Appropriateness (of the method to the group of employees in question)
➢ Competency of the individual doing the assessment for example are they in fact able to judge the quality of product, or service if using sampling or observation
➢ Authority
➢ Manageability of the data

Ideally a needs assessment would involve a high degree of employee and management participation, require a modest investment of time and money, and would produce a high degree of relevant data. The extent to which this ideal might be achieved would depend on the nature of the job.

In terms of employees and management involvement, trainers can increase the likelihood that employees share the responsibility for the outcomes of the final training by inviting them to participate in making the decisions that lead up to the training. Furthermore, management of the organization is more likely to accept the training strategy if all sides of the business problem have been examined.

Needs assessment, therefore, is not and cannot be some lock-stop method or mindless procedure to be followed. It is more of an idea, a perspective, and a philosophy. It is a broad set of concepts, tools, techniques for getting at the reason for training. As Roger Karfman, one of the needs assessment gurus is fond of saying, “If training is the solution, what’s the problem?” Needs assessment aims at answering that question, and answering it calls for a wide variety of imaginative and insightful approaches.
3.7 Identifying training objectives

The final step in the assessment phase is to translate the needs identified into measurable objectives that can guide the training effort. This is one of the most critical steps in the training cycle. Without well-constructed learning objectives, instructors don’t know exactly what is to be taught, learners don’t know about what is supposed to be learned, and managers don’t know what they are investing their training money in. Learning objectives tell them what is to be learned, how well it is to be performed and under what conditions it is to be performed.

Without clearly set goals, it is not possible to design a training and development program and after it has been implemented, there will be no way of measuring its effectiveness.

Training objectives include the general content of the training to be given. The training objectives or desired outcomes of training activities; are then used to determine the specific courses that will be offered to meet the training needs. There is a cascading of objectives from the broad objectives of the overall program down to the objectives of a specific course within the curriculum or even the objectives of a particular unit within a course.

Ideally, training objectives should include such matters, as the specific skills to be taught, the number of people to be trained and from which units and the period within which such training should take place. For example, part of a firm’s quality improvement training program could be based on the following objectives:

“To have 80 employees complete the training program in statistical quality control techniques by December 1, 2002. The 80 who complete this program should consist of 60 inspectors and 20 supervisors, each of whom should be able to provide statistical quality control for any company production line.”

Objectives for the training program that do not relate directly to specific job skills should also be considered. Examples of these kinds of objectives include employee health and safety guidelines, promotion opportunities, and self-study opportunities.
The training objectives are formulated from various need-based objectives. Some of these are:

- *Personal Growth Objectives* of the individual participants which are related to the development of self-confidence, self-competence, self-image and other aspects of self-realization as related to efficient personal and professional role performance. These are difficult to measure. Here an individual asks: what is there in training for me as individual or as a person serving the organization? The realistic answer to this question will indicate positive or negative motivation towards organizational training.

- *Operational objectives* or *Result objectives* which are directly related to the executional aspects of the tasks and are stated items of organizational outputs, such as reduced costs, higher productivity and increased efficiency.

- *Instructional objectives* are the teaching learning objectives which may be in the form of oral or written objective tests, examination and similar tools for measuring the learning or effectiveness of instructions imparted to the trainees.

- *Reaction objectives* which an evaluation ascertains or asks from the participants in terms of their feelings, recollections and questions adaptability and use i.e. overall reaction to the training received as a feedback for the improvement of future programs of training. Reaction refers to how the trainees feel about the training – whether or not it is interesting and satisfying. A reaction objective might be to have a rating of four or a five-point scale of trainee satisfaction. Some times these are called ‘Training directors objectives’, when they are used for justifying expenditure to sell training to the top management and the users of training. Hence they are also known as *happiness objectives*. Reaction and result objectives are not very useful for specifying exactly what must go on in the training program or what individual trainees must master.

- *Behavioural Objectives*. These specify those critical requirements that is what will the trainee learn and how will that learning be demonstrated after training. A behavioural objective states what
the person will be able to do, under what conditions and how well
the person will be able to do it.

Specific terminal learning objectives must be developed for the training
program each terminal learning objective is then analyzed to determine if it
needs any enabling learning objectives, that is, if it needs to be broken down
into smaller, more manageable objectives. A learning objective has three
parts.¹

1. *Observable action* – Describes observable performance or behaviour.
   An action means a verb must be in the statement, for example “type a
   letter” or “load a program into the computer”. Each objective covers
   one behaviour, hence, only one verb should be present. If there are
   many behaviours or behaviours are complicated, then the objective
   should be broken down into one or more enabling learning objectives
   that supports the main terminal learning objective.

2. *At least one measurable criterion* – States the level of acceptable
   performance of the task in terms of quantity, quality, time limitations
   etc. This will answer any questions such as “How many?”, “How
   fast?”, or “How well?”. For example “At least 5 correct”, “within 10
   minutes”, “without error”. There can be more than one measurable
   criterion. Do not fall into the trap of putting in a time constraint
   because you think there should be a time limit or you cannot easily
   find another measurable criterion. Use a time limit only if required
   under normal working standards.

3. *Conditions of performance* – describes the actual conditions under
   which the task will occur or be observed. Also it identifies the tools,
   procedures, materials, aids, or facilities to be used in performing the
   task. This is best expressed with a prepositional phrase as “without
   reference to a manual or checking a chart”.

¹ Clark, Donald, *Introduction to Instructional System Design*, 1996,
[http://www.rtwlink.com/~donclark/about.html](http://www.rtwlink.com/~donclark/about.html)
Example 1 - Write a customer reply letter with no spelling mistakes using a word processor.

Observable action – write a customer reply letter
Measurable criterion – with no spelling mistakes
Conditions of performance – using a word processor

Example 2 - Smile at all customers, even when exhausted, unless the customer is irate.

Sometimes the conditions of performance may include a variable.
Observable action: Smile
Measurable criteria: at all customers
Conditions: even when exhausted
Variable: unless the customer is irate

Training objectives do not need to be complex. If our analysis of needs has been effective there may be little more to do but write down the result systematically.

A clearly formulated objective has two dimensions, a behavioural aspect and a content aspect. The behavioural aspect is the action the learner must perform, while the content is the product or service that is produced by the learner’s action.

It is a relatively straightforward task to define training objectives in performance measurable terms for specific work activities such as typing, driving etc. it is much more difficult when the work activity is complex, such as management and related areas. The essential problem here is that complex subjects of this kind cannot really be encompassed in short training courses, despite the attempts that are sometimes made to do this. The futility of these attempts is at once revealed by the insoluble problem of defining truly measurable training objectives. However, when managerial training is related to specific activities such as, for example, chairing meetings, public speaking, interviewing, etc, then the learning requirements can be made specific; the course contents can provide opportunities to demonstrate learning; the total learning achievement at the end of the training can be meaningfully assessed.
Training objectives should be:

- Clearly defined
- Measurable whenever possible
- Realistic
- Expressed in behavioural terms i.e. what the trainee will be able to do after training.

Writing down objectives and providing copies for everyone concerned is a helpful discipline.

Clear objectives will help us to choose the best way of meeting the need and to evaluate the results. Objective setting involves both trainees and their managers. It is vital that they agree in advance what the objectives of the training are, how achievement of them is to be assessed, and how the new skills and knowledge be used. If both are involved at this stage, they will feel commitment to the later stages, and monitoring progress will be easy and natural. It can be helpful to draw up objectives in the form of a contract between the trainee, manager and trainer.
Annexure 3.1

Causes of Performance Problems (Rosett – 1987)\(^1\)

<table>
<thead>
<tr>
<th>Kinds of causes</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of skill and/or knowledge</td>
<td>- Do not know product features</td>
</tr>
<tr>
<td></td>
<td>- Have forgotten now</td>
</tr>
<tr>
<td></td>
<td>- Unable to work the system</td>
</tr>
<tr>
<td>Flawed incentives</td>
<td>- Best people get more work</td>
</tr>
<tr>
<td></td>
<td>- Automatic salary increase</td>
</tr>
<tr>
<td></td>
<td>- No pay for performance</td>
</tr>
<tr>
<td></td>
<td>- No incentives</td>
</tr>
<tr>
<td></td>
<td>- Superiors ignore or fail to value</td>
</tr>
<tr>
<td>Flawed environment</td>
<td>- Computer keeps going down</td>
</tr>
<tr>
<td></td>
<td>- Forms are overly complex or ambiguous</td>
</tr>
<tr>
<td></td>
<td>- Role ambiguity</td>
</tr>
<tr>
<td></td>
<td>- Poor light, excessive noise, cramped quarters</td>
</tr>
<tr>
<td>Lack of motivation</td>
<td>- People don’t see what is good about this system or product</td>
</tr>
<tr>
<td></td>
<td>- People have doubts about abilities</td>
</tr>
<tr>
<td></td>
<td>- Unclear link between change &amp; organizational or individual goals</td>
</tr>
</tbody>
</table>

\(^1\)“Needs Assessment”, [http://www.ucalgary.ca/~djcote](http://www.ucalgary.ca/~djcote)
<table>
<thead>
<tr>
<th>Causes</th>
<th>Interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of skill and/or knowledge</td>
<td>Training</td>
</tr>
<tr>
<td></td>
<td>Job aids</td>
</tr>
<tr>
<td></td>
<td>Coaching</td>
</tr>
<tr>
<td>Flawed incentives</td>
<td>Revised policies</td>
</tr>
<tr>
<td></td>
<td>Revised contracts</td>
</tr>
<tr>
<td></td>
<td>Training for superiors</td>
</tr>
<tr>
<td></td>
<td>Incentive &amp; bonus plan</td>
</tr>
<tr>
<td>Flawed environment</td>
<td>Work redesign</td>
</tr>
<tr>
<td></td>
<td>New and/or better equipment</td>
</tr>
<tr>
<td></td>
<td>Role clarity</td>
</tr>
<tr>
<td></td>
<td>Better selection</td>
</tr>
<tr>
<td>Lack of motivation</td>
<td>Increased communication</td>
</tr>
<tr>
<td></td>
<td>Information about benefits, impact, value</td>
</tr>
<tr>
<td></td>
<td>Challenging work</td>
</tr>
<tr>
<td></td>
<td>Use of role models</td>
</tr>
<tr>
<td></td>
<td>Early successes to instill confidence</td>
</tr>
</tbody>
</table>
Annexure 3.2

Performance Problems

1. Analyze the task
2. Check actual performance
3. Against existing standards

Is there a deficiency?

- Yes
  - Check the deficiency for its importance
    1. Cost effectiveness
    2. Legal
    3. Executive pressure
    4. Population

- No

Important

- Yes
  - Put into proper training priority & develop a training

- No
  - Do the people know how to do their jobs?
    - Yes
      - Select a non-training solution
    - No
      - Devote training energies to performance problems with greater impact and greater value

## Annexure 3.3

**Model for needs assessment (Dalton Cote, 1996)**

The following model was developed to conduct needs assessment in many different situations. It is based on a synthesis of the literature and practical experience from conducting a number of needs assessment.

<table>
<thead>
<tr>
<th>Main Activity</th>
<th>Enabling Activities</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determine purpose</td>
<td>Determine the reason for analysis</td>
<td>1. Identified performance deficiency</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. New innovation or restructuring</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Routine systematic analysis</td>
</tr>
<tr>
<td>Collect background information</td>
<td></td>
<td>- Existing studies, reports, concerns</td>
</tr>
<tr>
<td>Determine scope of analysis</td>
<td></td>
<td>- Consider importance, time and resources (including costs)</td>
</tr>
<tr>
<td>Develop plan</td>
<td>Identify aim</td>
<td>- Consult with stakeholders and initiator of the analysis</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Educate and explain process (if required)</td>
</tr>
<tr>
<td>Identify sources of information</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop time-line</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plan data collection</td>
<td>Select data collection methods</td>
<td>- Literature review, questionnaire, interviews, focus groups, observation</td>
</tr>
<tr>
<td>Determine data collection procedures</td>
<td></td>
<td>- How and when is the data to be collected (time, cost, where are the sources of info located?)</td>
</tr>
<tr>
<td>Determine how to analyze the data</td>
<td></td>
<td>- Quantitative measures</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Qualitative measures</td>
</tr>
<tr>
<td>Develop data collection instruments</td>
<td></td>
<td>- Develop questions</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Trial instruments</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Amend instruments</td>
</tr>
<tr>
<td>Collect and analyze data</td>
<td>Collect data</td>
<td></td>
</tr>
<tr>
<td>Compile data</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analyze results</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify required levels of current &amp; future performance</td>
<td>Organizational vision, missions and goals</td>
<td></td>
</tr>
<tr>
<td>Subject matter experts</td>
<td></td>
<td>- Seeking of opinions</td>
</tr>
<tr>
<td>Job analysis and task</td>
<td></td>
<td>- Job descriptions</td>
</tr>
</tbody>
</table>

1. [http://www.ucalgary.ca/~djcote](http://www.ucalgary.ca/~djcote)
<table>
<thead>
<tr>
<th>Identify current level of performance</th>
<th>Extant data analysis</th>
<th>- Existing output data (productivity reports, safety reports etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opinion analysis</td>
<td>-Seek opinions of supervisors, managers, SME’s and workers</td>
<td></td>
</tr>
<tr>
<td>Observation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify problem areas</td>
<td>Determine the performance deficiency or gap</td>
<td></td>
</tr>
<tr>
<td>Identify cause(s) of problem</td>
<td>Generate possible causes</td>
<td>- Lack of skill/knowledge</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Lack of motivation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Lack of or inadequate incentives</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Poor work environment (tools, equipment, assistance, job aids, organization, etc…)</td>
</tr>
<tr>
<td>Identify probable causes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify solutions</td>
<td>Identify possible solutions</td>
<td>- Revision of policies &amp; procedures</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Job redesign</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- New equipment or technology</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Improved tools/job aids</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Improved working conditions</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Recruiting/selection</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Job re-assignment</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Performance appraisal &amp; counseling</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Revised organizational structures</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Training</td>
</tr>
<tr>
<td>Evaluate solutions</td>
<td>-Assess feasibility, costs and risks of both implementing or not implementing solutions</td>
<td></td>
</tr>
<tr>
<td>Select best solution</td>
<td>-Determine appropriate OPI to implement solution</td>
<td></td>
</tr>
<tr>
<td>Communicate results and recommendations of study</td>
<td>Develop report to be presented to stakeholders</td>
<td>-Background</td>
</tr>
<tr>
<td></td>
<td></td>
<td>-Aim</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Methodology</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Findings</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Conclusions/recommendations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Proposed implementation plan</td>
</tr>
</tbody>
</table>
Annexure 3.4

An example of survey used for assessing training needs – The president of a small to mid size company says “The organization has identified projected business goals, and we need be certain that 1. Our management team understands their implications on an operational level, and 2. We get feed back to ascertain what types of assistance we need to give to our managers to support their needs.”

Consider the use of a questionnaire for this organizational analysis.

**Operational effectiveness survey**¹

Please answer each question below :

1. Do you feel the vision of where the company is going over the next several years has been communicated to the management team  YES NO
2. a) If yes describe in a few words what your understanding is of that vision
2. b) By what means the message communicated?
3. Identify the three most important strengths the company brings to its customers.
4. What three things must the company do better to be leader among competition in the market place?
5. To become the most valuable supplier to our customers, we must?
6. In your opinion, who are the company’s three main competitors?
7. From a customer perspective what do you think are the most important measures of the company’s success?
8. From an internal perspective, what do you think are the most important measures of the company’s success?
9. If you were going to start up a national competitor, what are the three most significant things you would do differently?
10. Rank the following strategic issues from 1(most important) to 7(least important)
    - 1 2 3 4 5 6 7 Improved information system
    - 1 2 3 4 5 6 7 Improved product/service pricing
    - 1 2 3 4 5 6 7 Customer service effectiveness
    - 1 2 3 4 5 6 7 Explicit corporate vision
    - 1 2 3 4 5 6 7 Defined goals and objectives
    - 1 2 3 4 5 6 7 Improved process performance
    - 1 2 3 4 5 6 7 Total quality management
11. When was your last personal performance evaluation?
12. If you have had a performance review, do you recall whether you were able to discuss needs and issues at the review?
13. What should an orientation programme for new managers include?
14. What three key activities should we work to improve over the next 2-3 years?

¹ Swist, J., “Conducting a training needs assessment”, 2001, AMX International
15. Can you identify any training needs that would help you in meeting the operational goals of your unit?

A survey of this provides both qualitative as well as quantitative data for planning purposes. It also says to the members of the management team that the organization wants them to succeed. If the survey, results and subsequent feedback are used to determine training content or operational level changes, managers will feel their input helped human resources facilitate the change effort.
Annexure 3.5

Specimen of Job description

<table>
<thead>
<tr>
<th>Title</th>
<th>Compensation manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>Code</td>
<td>HR/2310</td>
</tr>
<tr>
<td>Department</td>
<td>Human Resource department</td>
</tr>
<tr>
<td>Summary</td>
<td>Responsible for design and administration of employees compensation programmes</td>
</tr>
</tbody>
</table>

Duties
1. Conduct job analysis
2. Prepare job descriptions for current and projected positions.
3. Evaluate job descriptions and act as chairman of the job evaluation committee
4. Ensure that company's compensation rates are in tune with the company's philosophy.
5. Relate salary to the performance of each employee. Conducy periodic salary surveys.
6. Develop and administer performance appraisal programme.
7. Develop and oversee bonus and other employee benefit plans.
8. Develop an integrated HR system.

Working conditions Normal, 8 hours a day, 5 days a week.
Report to Director, Human Resource Department.

Job Specification of Compensation Manager

| Education | MBA with specialization in HRM/MA in social work/PG Diploma in HRM/MA in industrial psychology A degree or diploma in Labour Laws is desirable |
| Experience | At least 3 years experience in a similar position in a large manufacturing company |
| Skill, Knowledge, Abilities | Knowledge of compensation practices in competing industries, of job analysis procedures, of compensation survey techniques, of performance appraisal systems. - Skill in writing job description, in conducting job analysis interviews, in making group presentations, in performing statistical computations - Ability to conduct meetings, to plan and prioritize work |
| Work orientation factors | The position may require upto 15% travel |
| Age | Preferably below 30 years. |

---

Annexure 3.6

Corporate competency profile for middle managers

Leadership

Intellectual competencies

Cognitive capacity

Middle managers (MMs) possess the cognitive capacity to understand and respond efficiently to the complexities inherent in service to clients. Middle managers can see multiple relationships in events, information pertaining to the operation of work units, branch mandate and objectives. Their cognitive capacities allow them to synthesize information from various sources, to view problems from different angles, to recognize patterns, trends or causes of events and develop explanations as well as short and mid term strategies. Complex problems or processes are systematically broken down in components parts, key issues are identified and logical conclusions are drawn. MMs see implications and consequences, anticipate obstacles, develop proactive strategies and determine what is needed to reach business goals. They set course of actions and priorities as well as provide sound recommendations on the basis of through analyses.

Creativity

MMs respond to problems and situations with innovative solutions. They show openness to new information and approaches as they use and stimulate in others the use of non-linear thinking and information from non-traditional assumptions, solutions in order to generate creative ideas and new ways of doing business.

Management competencies

Action management

MMs are results-oriented individuals who are known to make things happen and get things done. They are focused on reaching goals assigned to their work unit by giving directions and setting courses of actions, managing work and allocating resources in an efficient manner. In planning work and deploying resources, they define work goals and milestones, take advantage of technology as an enabler, form alliances when possible and conduct risk analyses. They demonstrate a constant understanding of the requirements of the management framework for financial, human and materiel resources. In managing implementation, MMs are efficient at clarifying objectives, applying project management principles, giving feedback to keep activities on track as well as identifying key actions that produce significant improvements. MMs understand the accountability framework and behave in a prudent and responsible manner in carrying out their responsibilities. They manage performance by monitoring implementation, making adjustments and evaluating results as well as impacts on people and issues. Middle managers are effective "win-win" negotiators who are committed to continuous learning for themselves and their environment while recognizing the necessity for their organization to manage learning and the intellectual capital.

1 http://www.psw-slp.gc.ca/research/personnel/
Organizational Awareness
While understanding the workings of the government and the Public Service, MMs are especially cognizant of the mission and the various business lines of their organization. They are especially sensitive to the relationships between key players and organizational segments as well as to acknowledge and private agendas. In order to build support for ideas and decisions, MMs establish and maintain influential connections within the organization. Their understanding of the organizational processes, systems and relationship, allows them to reach their business objectives and also to contribute to the success of other organizational business lines. Their understanding of the environment in transition of the Public Service and of the personal implications of the evolving work contract between employees and organizations, allows MMs to manage personal and organizational changes.

Team Work
MMs are both team players and team managers. As team players, they understand the precedence of corporate agendas and contribute fully to larger projects by collaborating with other managers and colleagues towards consensual solutions and better quality outputs. As they openly recognize the various contributions of other players, they seek the expertise of other players or teams to improve projects. As managers of teams, MMs recruit capable team members, capitalize on workplace diversity and foster a climate of horizontality and collaboration. While reinforcing the common goal of maximizing efficiency and service, they provide a supportive environment based on trust, respect and commitment. MMs are concerned with the developmental needs of team members, act as coaches and empower them. MMs are quickly aware of conflicts and efficient in solving them while recognizing when and how teamwork is or is not the most appropriate approach.

Partnering
In the context of avoiding waste, doing better with less and providing quality service to clients, MMs look for better ways of doing business. As part of their concerns for efficiency and service, they are constantly looking for partnering opportunities within and/or outside their organization. As entrepreneurs, they recognize opportunities, research and prepare grounds for agreements and contribute to decision-making. Within established agreements, MMs ensure quality service to clients while acting with prudence and concern for government rules and practices.

Visioning
While understanding the vision of the Public Service of the future, MMs support and promote the departmental vision developed by senior executives. At their level, MMs develop a personal vision to orient their actions and priorities. They also guide bottom-up visioning exercises that promote commitment to the corporate vision, generate enthusiasm, provide focus and simulate new ideas. They also regularly solicit input of others for the direction and orientation of the work unit.
Relationship Competencies

Interpersonal
In addition to dealing with people from outside their own organization, MMs maintain cooperative work relationships within their division by building trust, commitment, loyalty and respect. Because they recognize contribution from each, MMs are considerate, can facilitate and be also solid team players. They show warmth and empathy for others and their situation while stating opinions in value-free language and treating all fairly. In cultivating networks, they identify and manage difficult relationships. For MMs, developing people means directly coaching supervisors and employees towards performance improvement and helping to align the organizational, professional and personal goals.

Communication
When communicating with various audiences such as employees, peers, superiors and the public, MMs aim to be understood and to get feedback from them. Consequently they choose the appropriate medium and time (i.e. timing); they align the format, vocabulary and official language in order to motivate their audience towards decision/action/commitment. Every time they make presentations or give a debriefing, they express the organizational messages and ideas clearly both orally and in writing. Appropriate consultations take a large portion of MMs' time as well as keeping their personnel, their superiors and the key deciders well informed.

Personal Competencies

Stamina/Stress resistance
Ideally, MMs remain effective in judgment and decision-making under stress. But if they sense a decrease in energy in themselves or others, they are able to cope or to ask for assistance. To do so, they have learned to recognize stressors, warning signs and their impacts on self and others. While investing efforts when required without jeopardizing their own balance, MMs know how to balance their workload as well as to deal with ambiguity and stay on track.

Ethics and Values
MMs treat people fairly and with dignity. They are willing to admit mistakes, even in the face of adverse consequences. They honour their commitments and consistently strive to act in the public interest by ensuring that the public trust is not violated. They uphold the personal, social and ethical norms of the Public Service. They protect fairness, avoid conflict of interest and maintain political neutrality. Their principles guide them when dealing with ethical dilemmas in their environment and when supporting or coaching personnel.
Personality

MMs are engaged in an ongoing self-assessment to evaluate their impacts on other members of the organization and on the organization itself. They set ambitious but attainable goals for themselves, their unit and they pursue them with determination and perseverance. MMs, not only do they accept feedback openly, they also actively seek it for the benefit of the whole organization. They strive to enhance productivity through the interplay of talents and personalities.

Behaviour flexibility

Adapting quickly to people and circumstances, MMs respond quickly to emerging opportunities and risks. They are able to discard ineffective behaviours and acquire a wider range of new effective ones as context and roles change.

Self confidence

Often squeezed between senior management and supervisors and employees, MMs are asked to remain poised and confident in all kinds of stressful situations. They need to maintain a realistic view of their strengths and limitations while taking ownership and responsibility for decisions even with the risk of failure and profusion of critics. They handle criticism in a constructive manner without blaming others and can promote an idea or position even when unpopular. Tolerance to ambiguity enables MMs to focus on the objective of performance improvement. As they expect success, their sense of direction and self-assurance help them to maintain productive working conditions.

Service

In developing client-centered approaches to service delivery, MMs identify links to other government programs. They make effective use of appropriate internal and/or external sources for delivering services which balance policy objective and client needs. Processes are managed in a client-sensitive manner by seeking constant feedback, acting on client feedback and taking personal responsibility for quality of service. MMs coach personnel on client service approaches.

POLICY

MMs find ways and means to link own responsibilities within their organization to policy framework, implementation and government-wide issues. They can also explain the policy making process in the Federal Government and can contribute to the creation of policies by their involvement in task forces and research groups.

GOVERNANCE

MMs demonstrate a good understanding of the Canadian parliamentary system and of the distribution of power, responsibility and accountability between the main elements. They
have the capacity to relate executive, legislative and judicial roles. They can explain the Cabinet decision-making process and the dynamics between elected officials and public servants.

On the legislative side, they can explain the process leading to the creation of laws and the impact of these on the Public Service.

MMs are fully aware of the range of mechanisms both internal and external to the Public Service which protect public interests.

**MANAGING CHANGE**

In an environment of constant changes and multiple pressures, middle managers apply the principles of change management for themselves and their unit while staying focused on expected results and achievements. Being effective at adapting and shifting priorities, MMs recognize opportunities for growth and gain support for non-traditional decision-making and ways of doing business. Because they remain aware of the overall environment, the big picture, MMs identify trends and developments to impact the organization. Their capacity to live in an environment of opportunities helps them to support their personnel in dealing with change while contributing.