

## **HRD Systems and Policy of WASSAN (2008):**

### **Objectives of HRD Systems:**

- 1.1. To improve the credibility, effectiveness, efficiency of organization and persons/ teams working with the organization.
- 1.2. To create a supportive, encouraging and challenging working environment for every individual to perform one's own roles and responsibilities effectively
- 1.3. To provide enabling environment (motivation, security, sense of ownership, sense of direction/purpose) for improving the performance of teams and individuals
- 1.4. To provide opportunities for every individual/ team to use/realize one's own potential (utilization of existing capacities) and help in improving the capabilities to perform better (developing new capacities)
- 1.5. To effectively utilize and develop skills and capacities of human resources for achieving the goals of the organization
- 1.6. To nurture and continue organization's culture and work ethics

### **Principles:**

- Right Persons at Right Place at Right Time
- Develop HR Systems along with team members in a participatory manner
- Minimize conflicts, disparities, imbalances among the team members

### **Systems:**

#### **1. Formation of HRD Committee:**

- 1.1. HR Committee should be constituted for WASSAN. This committee will take up the following actions.
  - i. Develop institutional arrangements for human resource development
  - ii. Develop systems for recruitments and operationalize the same
  - iii. Develop systems for deployment of human resources in various projects
  - iv. Organize induction programs for new comers
  - v. Develop systems for performance assessment and conduct performance assessment
  - vi. Develop systems for incentives and disincentives based on the performance of each person
  - vii. Create an ambiance of collective action and team spirit by organizing formal and informal occasions for interactions.

1.2. Members of HR Committee: Members of this committee are selected based on their competency and ability to give time to the tasks related to HR Committee Functioning. Each member is expected to take up specific and agreed functions of the HR Committee. The HR Committee can co-opt other members depending on the need, agenda and expertise required for performing any particular task.

1.3. Proposed Roles of HR Committee:

In the above process, HR Committee will perform the following roles.

- i. Facilitator and Enabler in HR processes
- ii. Designer of HR systems
- iii. Supporter in operationalizing systems
- iv. Harmonizer of disparities to the extent possible
- v. Motivator
- vi. Counselor
- vii. Grievance Redressal System

## **2. Recruitments and Appointments and ToR:**

2.1. Every project will have a Project Team and Project Team Leader, who together will identify human resource need/ requirements for that project.

- i. Number of persons under various categories indicating Roles; Educational Qualifications; Experience; Any Other)
- ii. Pay scale/ budget available for these new positions

2.2. The Team Leader has to inform about this HR need to HR Committee.

2.3. HR Committee and Team Leader will take up the following process

- i. Identification of suitable candidates through Advertisement/ Campus Interviews/ References/ Head hunting/ Any Other process. Suitable candidates from among the existing staff will be given preference while making the selection.
- ii. Scrutiny and short listing of applications (Ensure regional/ gender balances in this process)
- iii. Tests and personal interviews.
- iv. Final Selection of suitable candidates by HR Committee along with Selection Committee. For each round of recruitments, Selection Committee needs to be formed as per the needs of the occasion.
- v. Issuing of Appointment letter and ToR by Secretary

2.4. ToR should contain the following.

- i. Pay and Benefits(consolidated/ scale)
- ii. Probationary Period and Period of employment

- iii. Placement/ location of work and head quarters
  - iv. Job Profile/ Job description
  - v. Facilities provided
  - vi. Reporting Person
  - vii. Organization culture and vision
  - viii. Terms related to termination of employment/ contract or resignation
  - ix. A copy of Service Rules
- 2.5 A separate ToR will be prepared for those who are hired on assignment basis. This will contain:
- i Duration( includes starting period and timeline for completion)
  - ii Payment
  - iii Expected output
  - iv. Disciplinary action for violating norms.

### **3. Induction Process:**

- 3.1. This process is meant for helping a new comer(s) to get familiar with the organization culture, rules, and norms apart from knowing about various programs and their relevance in general.
- 3.2. A Team for Conducting Induction Program for new comers is constituted with the following persons.
- 3.3. This team will develop a module for Induction of New Team Members.  
Proposed Content of Module
- i. Introduction to Organization/ Team members
  - ii. Introduction of the concerned projects/ programs of the organization in general.
  - iii. Field Visits as per the needs of the person/ role to be performed
  - iv. Introduction to service rules/ administrative procedures
  - v. Meeting members of Solidarity Institutions
  - vi. Literature review of important books/ reports (Including Vision Statement; Gender Policy)
  - vii. Presentation by new comer and submission of formal report.
  - viii. Conducting Pre-Post Induction Tests and continue the exercise depending on the level of knowledge acquired by the person during the induction.
- 3.4. Since several new members are joining the organization, it is expected that the current staff/ seniors help the new comers in understanding the vision, mission, culture, purpose, values and operational strategies of the organization. Senior Staff are expected to set role models to new comers and help in continuing and improving the culture. For this, the following steps are proposed

- i. Every new comer gets a proper and professional orientation about the organization.
- ii. Every new comer would have a mentor, who is responsible for ensuring the proper orientation of the new comer and nurturing.

#### **4. Capacity Building:**

- 4.1. To the extent possible, at least one external training programs/year to be organized for all staff members (including new members) as per the needs of each person.
- 4.2. Build up capacity building fund for developing capacities of staff. This fund should be pooled form various projects of WASSAN. The new and upcoming projects will plan to set aside some amount of fund for this purpose.
- 4.3. HR committee to communicate details of the available training programs to all team members.
- 4.4. Any individual who gets information about training programs should share this information with HR Committee (to take up Point 4.3).
- 4.5. HR Committee to explore relevant training opportunities for team members in consultation with Team leader.
- 4.6. Nominated persons will attend the training program; these persons will submit a formal report to HR Committee with an action plan on how the acquired skill scan be utilized for efficient performance.
- 4.7. HR Committee could also encourage team members to pursue higher studies/ research studies/ exposure visits/ opportunities for acquiring field level work experience/ others. For further details, refer Chapter on Incentives.
- 4.8. Individual employees can approach HR committee requesting support for a learning program. Based on the need/ relevance, the norms for supporting such learning programs could be decided by HR Committee (sharing of fees, allowing the person to participate in these learning programs, etc).

#### **5. Performance Assessment**

##### **5.1. Objectives of Performance Assessment:**

- i. To assess the level of achievement of each person against agreed role/ tasks
- ii. To reward performance and take action on non-performance
- iii. To help the person/ team in
  - Developing role clarity
  - Developing capacities (skill and knowledge)
  - Delivering quality outputs within agreed time frames

## 5.2. Steps for Conducting Performance Assessment:

- i. First step is to develop “Performance Plan” for each person. This Performance Plan is also basis for Project Management and Monitoring. This Performance Plan will contain the following details.
  - Role to be performed in a given project
  - Activities/ Tasks to be performed in a given time frame (as per the Road Map of the Projects in which one is associated with).
  - Expected results/ outputs/ outcomes (Tentative)
  - Bench mark capacities – skills/knowledge about the roles to be performed.
- ii. Team Leaders of each project have to take interest in supporting the team members in developing role clarity.
- iii. HR Committee could also provide any support in this process as per the requirement/ request from HR Committee.

## 5.3. Conduct assessment in the following steps:

- i. As per the agreed statement of roles/ tasks/ performance plan, performance appraisal would be conducted in the following categories. Each year, specific time period would be allocated for this purpose. (May/June).
  - Self Assessment
  - Assessment by Team Leader
  - Assessment by Peer
  - Assessment from project management/ monitoring
  - Assessment by HR Committee

## 5.4. Performance Assessment as per categories of employees:

- i. Regular:
  - The above processes are applicable to regular staff.
- ii. Contractual:
  - The contract will be renewed based on the satisfactory performance.
  - This renewal also is an occasion to negotiate ToR between the contractual employee and organization

## 5.5. Recommendations from Performance Assessment:

- i. Based on the performance of each person, HR Committee would recommend the following actions.
  - Incentives and Disincentives
  - Action Plans for Capacity Building

- Planning for Human Resource Deployment
- Any Other

## 6. Team Deployment & Work Load Assessment:

- 6.1. It is important that each project is adequately staffed and work loads are evenly distributed. This will help to achieve the objectives of the project in an efficient manner. It helps to relieve the over burdened employees by reallocating the tasks.
- 6.2. The team leader takes the responsibility to assess the number of persons required and how to allocate different tasks to the persons. To this effect (s)he will
- inform the HR committee about his requirement
  - Plan for assigning the tasks as based on the activities planned.
  - Plan for number of days each person/group of persons will be deployed for each planned activity. This also includes hiring external resource persons.
  - Plan for the budget allocation

## 7. Conflict Resolution and Grievance Redressal Systems:

### 7.1. Types of Conflicts:

- Conflicts between individuals
- Conflicts between different teams
- Conflicts that arise from the norms/ systems
- Conflicts that arise from the convergence agenda of Solidarity Institutions

### 7.2. Redressal System

- A point person is nominated, who is approachable and objective for addressing conflicts. **K Suresh** is nominated as a point person for this purpose.
- The persons concerned and the point person should discuss the issue and find out an amicable solution.
- Prepare a report/ note on this issue and share with Core Group for necessary action.
- The point person has to take the agenda till it reaches a logical conclusion.

## 8. Gender Policy and Gender Integration

- 8.1. Existing Gender Policy of WASSAN should be shared with all team members and everyone should get familiarized with the contents and action points of the same. This policy will also be included in the module of induction process.
- 8.2. WASSAN should be engaged with several other processes/ organizations that are working on gender issues and gender integration in a formal and effective manner.
- 8.3. To operationalize the Gender Policy, an empowered group is formed from within WASSAN team. This group consists of a Core Group Member and other members who are expected to effectively contribute to this agenda. The anchor of this agenda should be anchored by gender sensitive woman or man.
- 8.4. The group will explore the possibility of selecting a Woman Program Manager whenever a need arises for such a position. This aspect is mentioned in the recruitment process also.
- 8.5. This Gender Group would ensure that action points from the policy are operationalized at the following levels.
  - i. Within the Organization
  - ii. Within field level
  - iii. Within programs
- 8.6. The gender complaints committee is in place which is in addition to this Gender Group.

## **9. Incentives:**

- 9.1. Incentives and disincentives are part of performance assessments.
- 9.2. Incentives under special provisions would be awarded to eligible team members. The eligibility criteria are the following – seniority in the organization; ability of the person to take up multi tasking/ roles and so on. Based on any other considerations from Core Group/ recommendations of the HR Committee, Core Group takes decisions related to awarding incentives and disincentives.
- 9.3. Types of Incentives
  - i. Non Financial Incentives
    - Additional Infrastructure Facilities
    - Capacity Building (Education, Nominating to workshops; etc)
    - Recognition of Performance through awards/ merit certificates based on performance
  - ii. Financial Incentives:
    - Promotion
    - Opportunities to work with other projects of the organization at higher levels

- Additional Increments
- iii. Special Provisions:
  - Individual Consultancies
  - Sabbatical Leave
  - Eligibility for honorarium
  - Opportunities to work in other projects of the organization with a specific incentive system
  - Opportunities to work on Part Time in projects outside WASSAN.
  - Sponsor a holiday package for the family

**10. Disincentives:**

- 10.1. Disincentives are to be used as corrective measures (deviations) and to improve performance. In spite of persistent efforts by the organization, severe steps could be taken including termination.
- 10.2. Team Leaders; HR Committee and relevant committee could take necessary steps and action to facilitate consultation support and take necessary actions. The final decision of HR Committee would be communicated to Core Group which takes necessary action as per the recommendations of the HR Committee.
- 10.3. The basis for taking action in this regard needs to be objective and evidence of non/ poor performance or deviations.
- 10.4. Any major deviation from core values, discriminatory practices, harassment, indiscipline; poor performance deserve severe action.
- 10.5. Disciplinary action: this is the action taken against an individual to safeguard the core values and culture of the organization. this will be initiated
  - i. When an individual is observed to violate the norms and rules of the organization
  - ii. When an individual is observed to be disobedient, irregular and disrespect the seniors, peers and other employees of the organization.
  - iii. Not discharging the prescribed roles/responsibilities allocated during the time of joining.
  - iv. Misuse of the resources (physical as well as financial).
- 10.6. Procedure: Following procedure will be adopted for initiating disciplinary action against an individual

- i. Informing the person about his/her observed behavior through verbal communication. Any person could approach K Suresh for making any complaint or sharing details of misbehavior of any other in the organization.
- ii. The administrator/ the person addressing the conflicts will be the person responsible for the process. He will give a report to the secretary to initiate necessary action.
- iii. Based on the analysis made by K Suresh, HR Committee could recommend to Secretary to issue show cause notice/ memo for the individual who have ignored informal communication, seeking a written explanation. The notice will specify the time for taking corrective measures to improve his/ her behavior indicating further action.
- iv. After three such notices appropriate action (to the extent of dismissal) will be taken that is specified in the notice.

## **11. Social/ Collective activities within staff:**

### **11.1. Improving Relationships:**

- i. It is important that all individuals have good relationships with each other and there is a sense of team and comradeship. It is important to develop formal and informal spaces of interaction and collective action among the individuals and their families. For this a number of initiatives could be organized. Some of the suggestions are the following.
  - Picnics with family members
  - Common Outings (Films/ Tours)
  - Participating and organizing cultural events in which each team members gets an opportunity to show case one's talent
  - Lectures/ Presentations
    - by external resource persons
    - Staff on selected themes of interest
  - Competitions related to cleanliness/ other aspects
  - Organizing Fresher's Day twice a year
  - Any Other

### **11.2. Group for Entertainment:**

- i. A Group is formed to plan and facilitate these events every year.
- ii. For this, X budget would be allocated (Say 1000 Rs/Person/Year).

## **12. Exit Protocols:**

### **12.1. Termination & Resignation Process:**

- i. Termination: When the services of any person are terminated, the following procedure is to be followed.
  - The HR Committee and representative of Core Group would give a formal termination letter to the person concerned, giving the following details.
    - Date of Termination
    - Details/ Reasons for terminating the services
  - The organization has to ensure that adequate notice period is given to the person concerned as per ToR.
- ii. Resignation: When any employee resigns from services, the following protocols are to be followed.
  - The person concerned should give an advance written and signed notice as per the ToR, to the Secretary in person. This period has also to be decided based on the pending tasks/ roles performed/ stage of the project one is handling.
  - Accumulated leaves could be used against the notice period. However, the work related responsibilities also have to be properly discharged by the person concerned. This decision has to be made by the Secretary.
- iii. Periods of notice apply to staff whose appointment ends because of:
  - Completion of a casual appointment
  - Completion of a fixed term appointment.
  - Failure of probation;
  - Dismissal on grounds of inefficiency.
- iv. The financial transactions (settling advances and any other) should be settled before the person is discharged from duties. For enabling this, the accounts department has to be taken into confidence as soon as the decision related to termination/ resignation is finalized. The Accounts department and team leader should issue 'No Dues Certificate'.
- v. All official property, pen drives, laptop, cell phones, identity cards etc. should be returned to the organisation before the employee finally leaves
- vi. Employees will get a service certificate from the organisation for the period served.

## **13. Amendments to HR Systems and Policy:**

In a dynamic situation like WASSAN, any policy and systems requires to be constantly reviewed and revised based on the need of the hour. HR Committee takes the initiative to review the existing HR policy and systems from time to time. New additions and amendments would be incorporated into the HR Systems and Policy document after adequate discussions in the staff meetings/ sub-groups formed for any particular purpose/ Board of Trustees meetings/ Core Group Meetings/ any other forums. The date in which these new additions/ amendments are added to the main policy would be mentioned in the HR Systems and Policy itself.

## **Additions and Amendments to HR Systems and Policy No 1:**

**Date/ Month: 12<sup>th</sup> Sep 07**

### **A Note on Mentorship:**

Since several new members are joining the organization, it is expected that the current staff/ seniors help the new comers in understanding the vision, mission, culture, purpose, values and operational strategies of the organization. Senior Staff are expected to set role models to new comers and help in continuing and improving the culture. For this, the following steps are proposed

- iii. Every new comer gets a proper and professional orientation about the organization.
- iv. Every new comer would have a mentor, who is responsible for ensuring the proper orientation of the new comer and nurturing.

### **Role of Mentor:**

1. To support the new team member in understanding the culture; vision; mission and values of the organization.
2. To guide the new comer in understanding the concerns, history and evolution of WASSAN
3. To explain the new comer about one's role in the organization and project
4. To motivate the new comer in performing one's role
5. To inculcate team spirit and sense of direction
6. To help the new comer in solving one's own problems (professional, administrative and other)
7. To keep up the high spirits and morale of the new comer
8. To identify capacity building needs and develop CB plans for the new comer
9. Interact with the new comer frequently and provide hand holding support
10. To share the concerns/ issues related to the new comer with HR Committee/ Core Group from time to time
11. To help the new comer in resolving any administrative issues associated.
12. To develop performance plans of the new comer along with Team Leader

### **Role of New Comer:**

1. To be in touch with the mentor from time to time and share developments
2. To seek inputs in organizing one's own work
3. To develop sense of direction by regular interactions with mentor
4. To bring to the notice of HR Committee/ Core Group in case of any critical issues

## **Additions and Amendment to HR Policy No 2:**

**Date/ Month: 7th Jan 2008**

### **Procedure for Recruiting Internal Candidates for New Positions of the Organization:**

HR Policy of WASSAN already mentioned that “Suitable candidates from among the existing staff will be given preference while making the selection”. (Point 2.3 on Page No 2) The following procedure was defined for facilitating this.

- A panel of completely external members would be constituted to assess the capacities and suitability of (those who have applied) internal candidates for the given position. The interview and screening procedure would depend on the nature of job and position for which one applied.
  - One or two members from this panel would also be part of the interview panel for assessing the open category candidates. This helps to make a comparative analysis of skills and capacities of the candidates (internal and external).
  - In the process, appropriate weightage would be given to experience of WASSAN. This weightage helps to give an edge to the internal candidates vis a vis external candidates.
  - The short listed internal candidates have to participate in the selection process along with open/external category candidates.
- i. For the current recruitments, the following process would be followed.
- Screening Committee for the Recruitments – MV Ramachandrudu; Surendra, Pavan and B Ramachander. Vanaja (APDAI) is not town till 16th Jan 08. So she is not included in the committee.
  - MV Ramachandrudu takes up the following responsibilities.
    - Constitute the interview panels for screening/ assessing internal and external candidates and coordinate with them for conducting interviews.
    - Circulate a note on Job Profile of the current positions.
    - Finalize the dates and send the invitation letters to short listed candidates and Coordinate the process of interviews.

## Additions and Amendment to HR Policy No 3

### Exit Protocol:

Date: 30<sup>th</sup> June 2008

### Termination & Resignation Process:

- i) Termination:
  - (1) When the services of any person are terminated, the following procedure is to be followed.
  - (2) The HR Committee and representative of Core Group would give a formal termination letter to the person concerned, giving the following details.
- ii) Date of Termination
  - (1) Details/ Reasons for terminating the services
  - (2) The organization has to ensure that adequate notice period is given to the person concerned as per ToR.
- iii) Resignation: When any employee resigns from services, the following protocols are to be followed.
  - (1) The person concerned should give an advance written and signed notice as per the ToR, to the Secretary in person. This period has also to be decided based on the pending tasks/ roles performed/ stage of the project one is handling.
  - (2) Accumulated leaves could be used against the notice period. However, the work related responsibilities also have to be properly discharged by the person concerned. This decision has to be made by the Secretary.
  - (3) Non-compliance will result in necessary punitive action. Wherever needed the last month salary will be adjusted against dues, if any. The service certificate may be with held and matter communicated to the future employer.
  - (4) Periods of notice do not apply to staff whose appointment ends because of:
    - (a) Completion of a casual appointment
    - (b) Completion of a fixed term appointment.
    - (c) Failure of probation;
    - (d) Dismissal on grounds of inefficiency.
- iv) The financial transactions (settling advances and any other) should be settled before the person is discharged from duties. For enabling this, the accounts department has to be taken into confidence as soon as the decision related to termination/ resignation is finalized. The Accounts department and team leader should issue 'No Dues Certificate'.

- v) All official property, pen drives, laptop, cell phones, identity cards etc. should be returned to the organisation before the employee finally leaves
- vi) Employees will get a service certificate from the organisation for the period served.

## **Addition to HR Systems and Policy: No 4**

**Date/Month: 12<sup>th</sup> July 2008**

### **Help Line Teams - Additions to HR Policy**

The team of WASSAN is growing as we are taking up new responsibilities and projects. Each new project requires additional human resources with necessary experiences and expertise on various issues related to watershed, natural resource based livelihoods, capacity building and so on. Several of our projects have limited budgets. There is a huge scarcity of qualified persons, who would like to work with WASSAN. As a result, we are unable to recruit qualified persons as per the requirement of the projects. This is leading to low level of performance and poor image of the organization. While we take services of external resource persons (PRP) for discharging several tasks, this arrangement may not work in all conditions. In certain cases, our existing team members have to take up specific responsibilities to fulfill the project needs within time. This calls for appropriate deployment of existing staff to various projects. Since all project teams are already busy, this task of deployment becomes a cumbersome process. Persons who could provide such support to other projects are also stretched. Considering this background, WASSAN intends to organize "Help Line Teams (HLT)" to supplement the human resource requirement of selected projects. Broad features of this arrangement are mentioned below:

1. Project Coordinators could approach team leaders/ Core Group/ HR Committee for this purpose. Depending on the need of selected projects, HR Committee would identify appropriate members from the organization who could provide such service to the selected projects.
2. Obviously these persons are working within various on-going projects of WASSAN. These persons will be selected based on their proven track record of experience and expertise and as per the need of selected projects. Team of selected persons would be constituted as Help Line Team to the selected projects. Responsibilities of this team are mentioned below:
  - 2.1. They take specific responsibilities of the projects and perform their responsibilities with specific timelines and produce required outputs.
  - 2.2. These timelines and outputs are to be clearly defined in the project teams to which this helpline team is attached.

- 2.3. The project team has to specify the period of time for which helpline team services are required.
- 2.4. Helpline team members are expected to support the projects concern while performing their regular duties.
3. For facilitating this process, WASSAN would provide additional incentives to the members of helpline team in the following days:
  - 3.1. Members of helpline team would be given incentive in the form of additional pay according to the tasks performed, time spent and outputs produced.
  - 3.2. Members of the helpline team would be given additional opportunities for capacity building programs, participation in National Workshops and so on.
  - 3.3. Any other incentives that could be defined in due course of time.