



# HUMAN RESOURCES MANAGEMENT



Your NPO's success depends on its employees. But assuring that your employees are successful requires more than just hiring the right people. A good Human Resources Management (HRM) program is a key part of ensuring employee success. A good HRM program will help you to:

- Structure jobs so that all needed work gets done
- Set competitive salaries and benefits
- Hire people with the right skills and attitudes needed to do the job successfully
- Set and enforce workplace policies in areas such as working hours, dress code, and conduct
- Provide orientation training and continuing education for employees
- Evaluate and maximize employee performance
- Discipline or terminate employees if needed
- Promote diversity and avoid discrimination in the workplace
- Provide opportunities for employee input and involvement

This tool provides information about developing your Human Resources program. It includes a set of self-assessment questions that will help you identify the strengths and weaknesses of your NPO's human resources functions, so that you can work to improve your human resources management capacity.

# PART I: MAJOR COMPONENTS OF HUMAN RESOURCES MANAGEMENT

| COMPONENT                                                     | WHAT IT INCLUDES                                                                                                              | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | WHAT THIS IS IMPORTANT                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
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| <p>1. Person with lead responsibility for Human Resources</p> | <p>There is an individual who has primary responsibility for assuring that all human resources functions are carried out.</p> | <p>The person designated to lead Human Resources oversees the following functions:</p> <ul style="list-style-type: none"> <li>• Recruits job applicants and supports line managers in their selection of the best employees to hire.</li> <li>• Orients employees.</li> <li>• Develops the performance appraisal system and forms used by managers throughout the NPO.</li> <li>• Determines and administers compensation and benefits for employees.</li> <li>• Is responsible for employee health and safety programs, labor relations, and the termination of employees.</li> <li>• Keeps employment records, and may be involved with legal matters.</li> </ul> <p><b>Established NPOs:</b> NPOs that have many employees often have a designated Human Resources Director. Very large NPOs may have a Human Resources Department.</p> <p><b>Developing and Start-Up NPOs:</b> Depending on the number of employees, a manager may be assigned to lead human resources along with other job functions. However, it is important to make sure that the manager’s human resources responsibilities are clearly described in his/her job description, and that he/she has enough time available to carry out human resources functions.</p> | <p>It is important to have someone who is responsible for making sure that all human resources functions take place. Having a person with responsibility for human resources helps assure that all aspects of the human resources program are coordinated and well planned. If human resources responsibility is spread over multiple people, with no one in charge, it is more likely that things will be forgotten or that human resources activities will not be well coordinated.</p> |

| COMPONENT                                                | WHAT IT INCLUDES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | WHAT THIS IS IMPORTANT                                                                                                                                                                                                                                                                                                                                                                        |
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| <p>2. Aligning human resources with your NPO's needs</p> | <p>The number and types of employees you hire should reflect an understanding of what tasks need to be done. When you understand all the tasks that need to be done, you can:</p> <ul style="list-style-type: none"> <li>• Determine who is best to do each task (Employee, volunteer, contractor)</li> <li>• Group similar tasks into positions for individual jobs</li> <li>• Determine the organizational structure for decision-making and oversight and for supervision of individual positions.</li> </ul> | <p><b>Established NPOs:</b> Established NPOs should periodically review the alignment of human resources and tasks and make changes as needed. This review could take place annually, prior to development of the budget for the coming year. If the NPO takes on a major new project or responsibility, it should re-examine its human resources assignments so that responsibility for new functions can be assigned as effectively as possible. Similarly, if it loses a major project, it should examine remaining tasks, compare them with current job assignments, and determine how best to change assignments and staff levels to respond to changing needs.</p> <p><b>Developing and start-up NPOs:</b> Developing and start-up NPOs should identify all of their tasks and consider the best way to carry them out. These NPOs may need to rely more on volunteers than established NPOs to carry out certain tasks, and individual employees may be responsible for a broader range of tasks. However it is still important to ensure that all tasks are assigned in a logical manner and to make sure that there is oversight and accountability so that all tasks are carried out as needed.</p> | <p>NPOs have scarce financial and human resources, and it is important to use those resources as wisely as possible. You need to make sure you have enough people to do the work, and that the work is organized and supervised in a logical way that helps make sure the work gets done. At the same time, you want to avoid over-hiring, which can be very costly to your organization.</p> |

| COMPONENT           | WHAT IT INCLUDES                                                                                                                                                                                                                      | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | WHAT THIS IS IMPORTANT                                                                                                                                                                                                                                                                                                           |
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| 3. Job descriptions | <p>Every position has a written job description. Job descriptions are shared with people applying for jobs, and all employees are provided with copies of their job description. Job descriptions are updated on a regular basis.</p> | <p>The job description includes the following:</p> <ul style="list-style-type: none"> <li>• Description of job duties</li> <li>• Minimum and preferred qualifications for holding the position</li> <li>• Reporting relationships</li> <li>• Performance expectations</li> </ul> <p><b>Established NPOs:</b> Job descriptions for established NPOs should include all of the above components. If possible, they should include measurable performance expectations. For example, "All reports must be submitted by the due date"; "Each client is contacted once a month to check on status".</p> <p><b>Developing NPOs:</b> Developing NPOs may have less detailed information on their job descriptions than established NPOs. However at a minimum job descriptions should describe job duties and provide basic information on reporting relationships and qualifications for the job.</p> <p><b>Start-up NPOs:</b> Start-up NPO job descriptions should at a minimum list job duties and reporting relationships.</p> | <p>Job descriptions:</p> <ul style="list-style-type: none"> <li>• Help with recruitment by clarifying the qualifications for positions.</li> <li>• Provide employees with a clear understanding of their job duties.</li> </ul> <p>Give supervisors and employees a framework for evaluating the employee's job performance.</p> |

| COMPONENT                 | WHAT IT INCLUDES                                               | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | WHAT THIS IS IMPORTANT                                                                                                                                                                                                                                                     |
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| 4. Recruitment and hiring | Consistent processes are used for recruiting and hiring staff. | <p>Establish procedures for:</p> <ul style="list-style-type: none"> <li>• Accepting employment applications</li> <li>• Reviewing applications and selecting which applicants to interview</li> <li>• Develop and administer skills tests, if needed</li> <li>• Conducting reference checks</li> <li>• Conducting criminal background checks</li> <li>• Interviewing applicants</li> <li>• Making job offers</li> </ul> <p><b>Established NPOs:</b> Established NPOs should have written procedures describing their recruitment and hiring process and assigning responsibility for the various components.</p> <p><b>Developing and start-up NPOs:</b> Developing and start-up NPOs should document their recruitment and hiring procedures as they develop. It is especially important to have clear, consistent procedures for conducting reference checks and criminal background checks so that these important parts of the hiring process are carried out properly.</p> | Having clear and standardized procedures for recruiting and hiring will help you hire the best people for the job. It helps assure effective outreach efforts in recruitment, and helps you avoid unsuccessful hires due to inadequate reference checks or other problems. |

| COMPONENT                       | WHAT IT INCLUDES                                                                                                              | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | WHAT THIS IS IMPORTANT                                                                  |
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| 5. Employee compensation review | Employee salary and benefit levels are reviewed periodically, and changes to salary and benefit structure are made as needed. | <p>Review your compensation structure in the following ways:</p> <ul style="list-style-type: none"> <li>• Determine how your salaries and benefits compare with salaries and benefits for similar organizations.</li> <li>• Determine whether employees within your NPO with similar responsibilities and level of experience receive similar compensation.</li> <li>• Assure that no compensation discrimination (by gender, minority status, etc.) is taking place</li> </ul> <p><b>Established NPOs:</b> Employee compensation review should be carried out on a regular basis.</p> <p><b>Developing and start-up NPOs:</b> Developing and start-up NPOs may have less financial ability than established NPOs to modify salaries and benefits based on compensation levels of other organizations. However, they can still review their compensation structure to ensure that employees with similar responsibilities and experience are paid similarly, and that there is no compensation discrimination.</p> | A well-structured compensation system helps you attract and retain qualified employees. |

| COMPONENT            | WHAT IT INCLUDES                                                                                                  | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | WHAT THIS IS IMPORTANT                                                                                                                                                                                                                                                                                                                                                                         |
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| 6. Employee Handbook | There is an employee handbook which is given to each employee when they are hired and updated on a regular basis. | <p>The Employee Handbook includes your NPO’s policies on:</p> <ul style="list-style-type: none"> <li>• Workplace rules, such as working hours, dress codes, and safety regulations.</li> <li>• Vacation, sick leave and other employee benefits.</li> <li>• Employee performance reviews and disciplinary processes.</li> </ul> <p><b>Established NPOs:</b> Established NPOs should have an employee handbook that includes the full range of information of interest to employees.</p> <p><b>Developing and start-up NPOs:</b> Developing and start-up NPOs may want to develop their employee handbooks gradually, initially providing employees with basic information and expanding that information over time.</p> | By distributing an Employee Handbook, you make sure that all employees have accurate information about your NPO’s rules and policies. This will help them understand and comply with these rules and policies. It will also help with employee disciplinary procedures, since the employee’s behavior can be evaluated based on clear standards of which the employee was informed in advance. |

| COMPONENT                   | WHAT IT INCLUDES                                  | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | WHAT THIS IS IMPORTANT                                                                                                                   |
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| 7. New Employee Orientation | There are orientation programs for new employees. | <p>Orientation programs provide new employees with important information about the NPO. Topics may include:</p> <ul style="list-style-type: none"> <li>• Information about your NPO’s mission and goals</li> <li>• Review of work rules and expectations (hours of work, dress code, etc.)</li> <li>• Introduction to computer, telephone and other technologies used</li> <li>• Facility tour and introductions to co-workers</li> <li>• Position-specific training and support as needed</li> </ul> <p>The nature of the orientation program will vary depending on the size of the NPO and the type of work it does.</p> <p><b>Large established NPOs:</b> Large, established NPOs will typically have formal orientation programs where employees attend orientation sessions and follow an established orientation schedule.</p> <p><b>Small established NPOs, developing NPOs and start-up NPOs</b> may choose to have informal orientation programs, focusing on one-to-one orientation discussions between the new employee, the supervisor and co-workers. However, even if orientation is relatively informal, it is important to be clear about what new employees need to know and make sure that the orientation provides the needed information.</p> | New employees will learn their jobs faster and perform better if they receive thorough orientation at the beginning of their employment. |



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| 8. Continuing education and training opportunities | Employees have opportunity for continuing education to advance their skills and knowledge. | <p>Continuing education may be provided directly by experts within your NPO, or you may bring in an outside expert to provide training. Alternatively, you may give employees the opportunity to take courses from an outside source.</p> <ul style="list-style-type: none"> <li>• <b>Established NPOs</b> will regularly review employee continuing education needs and opportunities, and discuss them with employees on a regular basis.</li> <li>• <b>New and developing NPOs</b> should also promote employee continuing education, though they may have fewer resources to support continuing education than more established NPOs. There may be opportunities for free or low-cost education or other creative approaches for providing continuing education for employees.</li> </ul> | Continuing education helps employees refresh their skills and develop new skills to help them and your NPO advance. |

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| 9. Performance reviews | Each employee should be given a written performance evaluation, at least annually. The employee and the supervisor should meet to discuss the performance evaluation. | <ul style="list-style-type: none"> <li>• Use a standardized, written performance appraisal form.</li> <li>• Start the process by having the employee do a self-evaluation. The supervisor also prepares a preliminary evaluation.</li> <li>• There is then a face-to-face discussion between the employee and the supervisor to discuss performance issues and to jointly agree on strategies for improving performance.</li> <li>• The supervisor finalizes the performance evaluation.</li> <li>• The employee gets a copy of his/her performance evaluation, and it is kept in the employee file.</li> </ul> <p>An important part of the performance evaluation process is developing specific plans for how an employee can improve their performance and/or develop skills that could lead to promotion within the organization.</p> <p><b>Established NPOs:</b> Established NPOs link the performance review to a comprehensive job description that sets out performance expectations. The review includes both objective performance measurements and subjective evaluation of employee performance.</p> | Performance reviews are very helpful, both for employees and supervisors. They provide an opportunity for in-depth discussion of the employee’s job performance, so that both strengths and areas of concern can be addressed. They set the stage for addressing issues that are impeding employee performance and for building mutual understanding and trust between the employee and the supervisor. They can be used as a basis for establishing the employee’s priorities for the coming year. |

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|                                      |                                                                                                                  | <p><b>New and developing NPOs:</b> Performance reviews may primarily involve discussion of job performance between the employee and the supervisor, with less focus on objective measurements than performance reviews used by more established NPOs. However, the performance review findings should still be documented in writing, and the review should result in plans to improve employee performance and support employee development.</p> |                                                                                        |
| 10. Diversity and non-discrimination | The NPO does not discriminate. It is in compliance with donor requirements for diversity and non-discrimination. | <ul style="list-style-type: none"> <li>• Be familiar with all requirements regarding diversity and non-discrimination, and make sure your NPO is in compliance.</li> <li>• Make sure that your interviews do not include questions that could be discriminatory.</li> </ul> <p>In recruiting, seek out applicants who are gender and culturally diverse.</p>                                                                                      | Having a diverse and discrimination-free workplace leads to a better work environment. |

| COMPONENT          | WHAT IT INCLUDES                                                                                                    | SUGGESTIONS FOR BUILDING YOUR HRM PROGRAM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | WHAT THIS IS IMPORTANT                                                                                                                                                                                                                       |
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| 11. Employee input | There is a process for soliciting, reviewing and responding to suggestions, comments and concerns of staff members. | <p>There are many ways that employees can provide input. These can be informal—for example, the supervisor can ask for employee input and suggestions at staff meetings or one-to-one meetings with employees. More formal approaches include a “suggestion box” where employees can submit suggestions in writing, or a formal employee satisfaction survey.</p> <p>The most important thing is to keep clear and open communications between supervisors and employees, so that employees feel comfortable communicating their ideas without fear of punishment and with reasonable expectation that their ideas will be given serious consideration.</p> <p><b>Large established NPOs</b> may use employee surveys to get feedback from employees on a regular basis. They might also have formal employee advisory committees who share employee perspectives with managements.</p> <p><b>Small established NPOs, developing NPOs and start-up NPOs</b> may rely on less formal means of getting employee feedback. In a small organization, provide opportunities for face-to-face discussion between employees and managers, and seek to create an atmosphere where employees feel comfortable making suggestions.</p> | Employees’ experiences doing their jobs can lead to creative ideas and solutions to problems. Providing opportunities for employee input will help you get good ideas, and will increase employee satisfaction and commitment to their jobs. |

## PART II: LIST OF ATTACHMENTS

| TOPIC                         | ATTACHMENT                                                                                                     |
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| <b>HR Staffing Analysis</b>   | Attachment 1: Aligning HR Staffing Analysis Tool                                                               |
| <b>Job descriptions</b>       | Attachment 2: Example job description—Administrative Assistant<br>Attachment 3: Job description template       |
| <b>Recruitment and hiring</b> | Attachment 4: Recruitment Procedure                                                                            |
| <b>Performance reviews</b>    | Attachment 5: Example performance review—Administrative assistant<br>Attachment 6: Performance review template |
| <b>Employee handbook</b>      | Attachment 7: Sample table of contents for employee handbook                                                   |

# PART III: HELPFUL REFERENCES ON HUMAN RESOURCES MANAGEMENT

| TÁC GIẢ VÀ TIÊU ĐỀ                                                                                                       | NGUỒN TÀI LIỆU                                                                                                                                                                                                            | NỘI DUNG TÀI LIỆU THAM KHẢO                                                                                                                                                              |
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| <b>Jan Masaoka</b> <i>The Non Profit's Guide to Human Resources, Managing Your Employees &amp; Volunteers</i> NOLO, 2011 |                                                                                                                                                                                                                           |                                                                                                                                                                                          |
| <b>Thomas Wolf</b> <i>Managing a Nonprofit Organization</i> , Simon and Schuster 2012                                    |                                                                                                                                                                                                                           |                                                                                                                                                                                          |
| <b>Center for Non-Profit Management</b> " <i>Frequently Asked Questions About Non Profit Human Resources</i> "           | <a href="http://www.cnmsocal.org/resources/management-and-supervision/faq-about-nonprofit-human-resources.html">http://www.cnmsocal.org/resources/management-and-supervision/faq-about-nonprofit-human-resources.html</a> |                                                                                                                                                                                          |
| <b>The Community Toolbox: Chapter 10</b>                                                                                 | <a href="http://ctb.ku.edu/en/tablecontents/chapter_1009.aspx">http://ctb.ku.edu/en/tablecontents/chapter_1009.aspx</a>                                                                                                   | This comprehensive website includes extensive capacity-building information for community organizations. Chapter 10 is called "Hiring and Training Key Staff of Community Organizations" |
| <b>The A-Z of Personnel Policies</b>                                                                                     | <a href="http://www.twc.state.tx.us/news/eft/eft.pdf">http://www.twc.state.tx.us/news/eft/eft.pdf</a>                                                                                                                     | This is part of a larger book on for Texas, USA employers. The Appendix in Section VI includes an extensive collection of sample personnel policies.                                     |

# PART IV: NPO SELF-ASSESSMENT: HUMAN RESOURCES

Your NPO can use the following worksheet to assess its Human Resources program. The worksheet is designed to help you identify areas of strength and areas where you can improve your capacity.

For each Human Resources Program Component, check the appropriate box to show whether the described standards are fully achieved, partially achieved, or not present in your NPO.

| HUMAN RESOURCES PROGRAM COMPONENT                                                                                                                                                                                                                             | ACHIEVED | PARTIALLY ACHIEVED | NOT PRESENT | COMMENTS |
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| 1. <u>Human Resources leadership.</u> A person in our NPO is designated with lead responsibility for human resources.                                                                                                                                         |          |                    |             |          |
| 2. <u>Aligning human resources with NPO needs.</u> We periodically review the tasks we need to carry out. We make sure that we have the right positions to carry out those tasks, and that the work is supervised to make sure it is carried out as intended. |          |                    |             |          |
| 3. <u>Job Descriptions.</u> There are written job descriptions for every position, describing job duties and expectations and needed qualifications for the job.                                                                                              |          |                    |             |          |
| 4. <u>Recruitment and hiring.</u> There is a written process for filling jobs, including application process, interviewing, reference and background checks, and hiring.                                                                                      |          |                    |             |          |
| 5. <u>Employee compensation review.</u> Salaries and benefits are periodically reviewed to ensure competitiveness and fairness.                                                                                                                               |          |                    |             |          |

| HUMAN RESOURCES PROGRAM COMPONENT                                                                                                                                                                   | ACHIEVED | PARTIALLY ACHIEVED | NOT PRESENT | COMMENTS |
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| 6. <u>Employee handbook.</u> All employees receive an Employee Handbook with important policies in areas such as workplace rules, compensation, performance evaluations and disciplinary processes. |          |                    |             |          |
| 7. <u>New employee orientation.</u> All new employees receive orientation to the NPO.                                                                                                               |          |                    |             |          |
| 8. <u>Continuing education.</u> There are opportunities for continuing education for continuing employees.                                                                                          |          |                    |             |          |
| 9. <u>Performance reviews.</u> There are regularly scheduled performance reviews for all employees.                                                                                                 |          |                    |             |          |
| 10. <u>Diversity and non-discrimination.</u> The NPO does not discriminate. It is in compliance with all donor requirements regarding diversity and non-discrimination.                             |          |                    |             |          |
| 11. <u>Employee input.</u> Employees know how they can communicate suggestions and concerns to management.                                                                                          |          |                    |             |          |



# PART V. SUMMARY OF ASSESSMENT RESULTS AND NEXT STEPS

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| <b>Human Resource management components where our NPO's performance is strong</b>                                                                                                                                                                                           | <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> </ol> |
| <b>Human Resource management components where our NPO needs to develop additional capacity.</b>                                                                                                                                                                             | <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> </ol> |
| <b>Human Resource management component(s) that will be prioritized for improvement</b>                                                                                                                                                                                      | <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> </ol>                         |
| <b>Next steps—For each priority component:</b> <ul style="list-style-type: none"> <li>• <b>What will be done?</b></li> <li>• <b>Who is responsible?</b></li> <li>• <b>What will be the start date?</b></li> <li>• <b>When will planned actions be completed?</b></li> </ul> |                                                                                          |