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HUMAN RESOURCE MANAGEMENT FOR HEALTHCARE ORGANIZATIONS TRAINING MANUAL

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HUMAN RESOURCE MANAGEMENT FOR HEALTHCARE ORGANIZATIONS TRAINING MANUA

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The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development (USAID) or the United States Government

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I. KEY HUMAN RESOURCE MANAGEMENT TERMS¹

Compensation and Benefits: The annual base salary paid to the employee for a particular job, including the added benefits that are customarily allowed (i.e. health, vacation, housing, loans).

Human Resource Management: The integrated use of systems, policies, and practices to recruit, develop, and maintain employees in order for the organization to meet its desired goals.

Human Resource Plan: The document which results from annual (or longer-term) planning, describing the goals and priorities for staffing, training, and other human resource activities, and how they are related to the organization's mission. It includes the budget for achieving these goals.

Incentives: Rewards, generally monetary, that are used to reward good performance, the achievement of objectives, and/or to motivate employees to improve program quality. Incentives, in addition to salary and benefits, can be a planned part of total compensation.

Job Classification System: The system that the organization develops to classify jobs according to their function and level of responsibility. It includes job descriptions for each position.

Job Description: A document that states the job title, describes the responsibilities of the position, the direct supervisory relationships with other staff, and the skills and qualifications required for the position.

Performance Management: The system, policies, and procedures used by an organization to define and monitor the work that people do, and to ensure that the tasks and priorities of employees are in alignment with the mission and goals of the organization.

Performance Review: A review of the employee's performance by the supervisor and employee, and based on jointly established work plans and performance objectives.

Recruitment: Activities undertaken by the organization to attract quality job candidates.

Work Planning: The process used by supervisors and staff to jointly plan the performance objectives and specific activities the employee is expected to perform within a specific time.

¹ Management Sciences for Health, Human Resource Management Rapid Assessment Tool for Health Organizations, 2009

2. DEFINING THE IMPORTANCE OF THE 22 HUMAN RESOURCE MANAGEMENT COMPONENTS²

Human Resource Management Area and Component	Importance
Human Resource Management Capacity	
Human Resource Staff	Staff dedicated to Human Resource Management is essential to policy development and implementation.
Human Resource Management Budget	Allows for consistent human resource planning and for relating costs to results.
Human Resource Planning	Allows human resource management resources to be used efficiently in support of organization goals.
Personnel Policy and Practice	
Job Classification System	Allows organization to standardize the jobs and types of skills it requires.
Compensation and Benefits Systems	Allows for equity in employee salary and benefits, tied to local economy.
Recruitment, Hiring, Transfer, and Promotion	Assures fair and open process based on candidates' job qualification.
Orientation Program	Helps new employees to identify with the organization and its goals/values.
Policy Manual	Provides rules and regulations that govern how employees work and what to expect.
Discipline, Termination, and Grievance Procedures	Provides fair and consistent guidelines for addressing performance problems.
HIV/AIDS Workplace Prevention Programs	Assures all staff have systems and knowledge required to prevent the spread of HIV/AIDS.
Relationships with Unions	Promotes understanding of common goals and decreases adversarial behaviors.
Labor Law Compliance	Allows organization to function legally and avoid litigation

² Management Sciences for Health, Human Resource Management Rapid Assessment Tool for Health Organizations, 2009

Human Resource Management Data	
Employee Data	Allows for appropriate allocation and training of staff, tracking of personnel costs.
Computerization of Data	Accessible, accurate, and timely data is essential for good planning.
Personnel Files	Provide essential data on employee's work history in organization.
Performance Management	
Staff Retention	Ensures the organization views staff as a strategic resource. High employee turnover can be very costly and lower internal morale.
Job Description	Defines what people do and how they work together.
Staff Supervision	Provides a system to develop work plans and monitor performance.
Work Planning and Performance Review	Provides information to staff about job duties and level of performance.
Training and Staff Development	
Staff Training	A cost-effective way to develop staff and organizational capacity.
Management and Leadership Development	Leadership and good management are keys to sustainability.
Links to External Pre-Service Training	Pre-service training based on skills needed in the workplace is cost effective.

3. THE HUMAN RESOURCE MANAGEMENT ASSESSMENT TOOL³

Instructions: For each of the human resource components in the matrix on the following pages, circle the statement that best applies to the current status of your hospital. If only part of the statement applies, circle the previous statement.

In the blank box in the right-hand column, please record the piece(s) of evidence that led you to select this box and any additional key information related to this component.

³ Management Sciences for Health, Human Resource Management Rapid Assessment Tool for Health Organizations, 2009

Human Resource Management Component	Stages of Human Resource Management and Characteristics				Current Stage	Evidence
	1	2	3	4		
Human Resource Management Capacity						
Human Resource Management Staff	There are no staff specifically charged with responsibility for human resource management function	There are human resource management staff in the organization but they have limited experience in this field (personnel, recruitment, management) and/or have other functions in the organization as well as human resource management	There are training human resource management staff in the organization, but only at a level to maintain basic procedures and record-keeping functions.	There are experienced human resource management staff in the organization who maintain these functions. They participate in long-range planning for the organization.		
Human Resource Management Budget	There is no budget allocated for human resource management staff and activity within the organization (recruitment, training)	There is limited money available to fund a human resource management position and conduct human resource management activities.	Budget is allocated for HRM staff and related activities. Allocation is irregular and cannot be relied on for any useful long-range planning or the development of HRM systems.	Money for HRM staff and related activities is a permanent budget item, reviewed annually and adjusted if possible.		
Human resource Planning	No annual human resource staffing plan exists for the organization	An annual human resource staffing plan exists, but it is not based on the goals or staffing needs of the organization	An annual human resource staffing plan exists, based on the goals and staffing needs, but it is not regularly reviewed for effectiveness.	An annual human resource staffing plan exists based on organizational goals and staffing needs exist. It is evaluated and used for long-range strategic planning.		

Job Classification System (Title/qualifications for: professional, Clinical, technical, support staff)	No formal system exists to classify jobs and the skills and qualifications required for each qualification	There is some attempt to classify jobs, but it is uneven and incomplete	A job classification system exists, but it is not used as a basis for other HRM functions (job descriptions, hiring, salary/benefits).	A job classification system exists and is used in a formal manner for other human resource planning and staffing functions.		
Compensation and Benefits System	No formal system exists for determining the salary scale and benefits provided to each job classification.	A formal system exists, but is not used in a routine manner.	A formal system exists, is understood by all employees and used in a consistent manner.	A formal system exists and is used consistently. It is also used to determine salary upgrades and merit awards.		
Recruitment, Hiring, Transfer, and Promotion	No formal process exists for recruiting, hiring, transfer and promotion according to job descriptions.	There are systems for hiring, etc. but they are not followed.	There are formal systems, based on established criteria, but they are not used consistently.	There are formal systems, monitored and used in all hiring, transfer, and promotion decisions.		
Orientation Program	There is no formal orientation program for new employees	There is a program, but it is not implemented on a regular basis.	Orientation is offered in a routine manner, but does not emphasize the mission, goals, and performance standards expected by the organization.	Orientation is offered to all new employees, emphasizing the mission, goals, and performance standards expected, and also makes people feel welcomed and valued.		
Policy Manual (organizational chart, work hours, timesheets, policy)	No policy manual exists.	Policy manual does exist, but it is out of date and does not include all of the relevant information.	A current policy manual does exist but it is not available to all employees and is not always used as a	An updated policy manual does exist and is available to all employees. It serves as a reference guide to		

			basis for personnel decisions.	all questions about employment in the organization and is reviewed and updated regularly.		
Discipline, Termination, and Grievance Procedures	No formal procedures exist.	Formal procedures do exist, but they are not clearly related to performance standards.	Formal procedures based on performance standards exist, but they are not followed.	Formal procedures based on performance standards are known to all employees and used consistently.		
HIV/AIDS Workplace Prevention (if appropriate)	There is not HIV/AIDS workplace prevention program in place to develop awareness and protocols to prevent HIV/AIDS infection (proper handling of needles, peer education program, distribution of condoms).	An HIV/AIDS workplace program has been developed but is not implemented.	An HIV/AIDS program is developed and focuses on using appropriate protocols to limit the risk of infection as well as education about the HIV/AIDS virus, but it is not mandatory and only some of the staff have participated.	An HIV/AIDS program is developed and focuses on using appropriate protocols to limit the risk of infection as well as education about the HIV/AIDS virus. It is mandatory for all staff and is monitored for effectiveness.		
Relations with Unions (if appropriate)	There is no link between HRM, management, and the unions	Links exist between HRM, management, and the unions, but roles are not clear	Management involves HRM in union issues, but not on a regular basis.	Management, HRM, and the unions work together to resolve issues and prevent problems.		
Labor Law Compliance	There is no review of HRM policies to ensure compliance with local and or national labor law.	There is some effort to review labor law, but it is not done on a regular basis.	A review of the labor law is done regularly as a formal part of the HRM function, but policy is not always	HRM policy and practice is adjusted to comply with local and/or national labor law.		

			adjusted to ensure compliance.			
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Human Resource Management Data

Employee Data (number of staff, skill, education level, gender, age, year of hire, salary level)	None of this data is collected on any kind of systematic basis.	Most of this data is collected but not maintained or kept up to date.	All of this data is available and up to date, but data is not formally used in human resource planning or forecasting.	All of this data is available and up to date. Systems are in place. Data is formally used in human resource planning and forecasting.		
Computerization of Date (Note: this component is more relevant for larger organizations.)	There are no computers or data systems available to the organization, externally or internally.	There are computers in place, but no resources to develop systems for data management.	Computers and data management systems are available, but staff are not trained and data files are incomplete.	Computers and data management systems are in place and data files up to date. Staff receives training.		
Personnel Files	No individual employee records exist.	Limited employee personnel files are maintained, but not regularly updated.	Limited employee personnel files are maintained, but not regularly updated.	Updated personnel files for all employees exist and also policies for appropriate use (confidentiality, employee access).		

Performance Management

Staff Retention	There are no data available on staff retention rates and the factors contributing to declining rates (how much due to out migration, retirement, etc.	Date on staff retention rates are available but no analysis has been done to determine the contributing factors.	Data on staff retention rates are available. An analysis has been done to determine the contributing factors, but no strategy has been developed to address these factors.	A strategy is in place to improve the staff retention rate. It is based on data and a realistic analysis of the available pool of qualified employees.		
Job Descriptions	No job descriptions	Some staff have job	All staff have job	Complete job		

	are developed	descriptions, but they are not always up to date and/or are very general, lacking job responsibilities and supervision.	descriptions, but they are not all complete or up to date with specific duties and lines of supervision.	descriptions exist for every employee and are kept up to date through a regular process of review. Specific duties and lines of supervision are clearly stated.		
Staff Supervision	There is no clear system of supervision. Lines of authority are unclear. Staff are not recognized for their achievements.	There are established lines of authority, but the supervisor's role and function is not understood and little supervision takes place. Limited staff recognition	Supervisors understand their roles and lines of authority and meet regularly with their employees to develop work plans, evaluate performance, and publically recognize staff for their achievements.	Supervisors increase staff performance by assisting staff with professional development plans and encouraging them to learn new skills. Supervisors receive skills training periodically.		
Work Planning and Performance Review	There is no formal performance planning and review system in place.	A performance planning and review system is in place, but it is informal and does not include work plans and performance objectives jointly developed with staff.	There is a formal system and supervisors are required to develop work plans and performance objectives with each employee and review performance in the past, but this is not done on a consistent basis.	Supervisors and employees develop work plans jointly and performance reviews are conducted on a regular basis. Orientation sessions are provided to all staff. Reviews are used for personnel decisions.		
Training and Staff Development						
Staff Training	There is no established training program	Training is offered on an ad-hoc basis but it is not based	Training is a formal component of the organization and	Training is a valued part of the organization and		

		on a formal process of assessing staff needs nor is it linked to the organization's key priorities and changes in the health sector and health practices.	linked to staff and organizational needs, but it is not available for all staff, nor is it evaluated for results.	opportunities are developed for staff based on their needs and also on those of the organization.		
Management and Leadership Development	There is no policy or philosophy regarding the importance of developing strong management capacity and future leaders for the organization.	There is an emphasis on developing management capacity but it is not done on a regular basis.	The organization makes an effort to develop managers and future leaders through training, and also through mentoring and challenging job assignments, but participation is selective	A plan for management and leadership development is in place and there is an opportunity for everyone to participate based on performance and other established criteria.		
Links to External Pre-Service Training	There is no formal link with the pre-service training institutions which train employees for the health sector,	There is a loose relationship between the organization and pre-service training institutions, but it is not used in any formal way for workforce training and development.	The organization and pre-service training institutions work together to ensure that the curriculum is based on skills, knowledge and attitudes required in the workplace.	The organization and pre-service training institutions also offer regular in-service training for staff in the workplace to upgrade their skills and knowledge (management training.		

4. SAMPLE HUMAN RESOURCE MANAGEMENT ACTION PLAN⁴

Human Resource Management Component for Improvement	Proposed Activities	Timeline	Person(s) Responsible	Resources Needed	Indicators
Performance Management					
Job Descriptions	Undertake a comprehensive review of all job descriptions, compare them with employees' current and anticipated job responsibilities. Update as necessary.	Over the next several months.	Executive Director and Human Resource Management Director	Staff time and assistance. No additional resources required.	Current job descriptions are on file for all staff, including specific duties and lines of supervision. A procedure to maintain them is in place.
Work Planning and Performance Review	Revise existing system to include a process of joint work planning between the employee and the supervisor which is based on employee's job description and linked to organizational goals.	Six months to review and develop a process and six months to train staff and implement it.	Staff responsible for human resource management and Director of Training, with a working committee representative of all levels of the organization.	External consultant to assist in training all staff.	Revised performance evaluation system is in place. Staff are trained and a system has been developed to monitor implementation.

⁴ Management Sciences for Health, Human Resource Management Rapid Assessment Tool for Health Organizations, 2009

5. HUMAN RESOURCE MANAGEMENT ACTION PLAN

Human Resource Management Component for Improvement	Proposed Activities	Timeline	Person(s) Responsible	Resources Needed	Indicators

6. JOB CLASSIFICATIONS AND SALARY POLICY⁵

6.1 JOB CLASSIFICATIONS

6.1.1 JOB ANALYSIS

Job Analysis is a detailed statement of work activity performed to achieve the objectives of the job. It is important to have updated and reliable information about jobs in order to make better employment and management decision, to save money, to increase productivity and to comply with any relevant legal regulations.

Job Analysis as the foundation of hiring and selection procedures provides employers with a means to make sound, cost-effective employment decisions. Selection procedures based on a thorough job analysis process are designed to identify the best qualified candidates for a job.

Job Analysis is also the foundation used to develop job descriptions which specify the type and level of responsibility each job requires, as well as the skills and qualifications needed to perform these responsibilities at a satisfactory level. This data also provides the basis for developing an equitable compensation system.

6.1.2 JOB DESCRIPTIONS

A job description is a document that states the job title, describes the responsibilities of the position, the direct supervisory relationships with other staff, and the skills and qualifications required for the position.

Every employee in the organization has a clear and current job description. Job descriptions are the basic organizing element in any organization. They form the basis of the contract an individual holds with the organization. A job description has several purposes in the organization:

- **Hiring:** To ensure that the person who is hired has the necessary qualifications and understands the scope of the position in question. The job description serves as a guideline for developing hiring criteria, questions for the interview and the reference checks.
- **Orientation:** To serve as a guide in orientation and help the employee understand what is expected of him/her and how the employee relates to other people in the organization.
- **Supervision:** To serve as a basis for the supervisor and the employee to develop a work plan for designated time periods and to help the supervisor monitor performance.
- **Performance Review:** To help the supervisor systematically review the employee's performance on all assigned tasks.
- **Operations:** To help the organization organize its work, assign all the necessary tasks to the right employee, and effectively address the goals of the organization.
- **Salary:** To develop a salary structure which is internally consistent with the defined level of knowledge, skills and experience required for the job as well as with the level of responsibility.

Job Descriptions include:

- Job Title

⁵ Adapted from Management Sciences for Health, Human Resources Toolkit, 2009

- Date the last time the job description was reviewed
- Reporting Relationship – the position to which the employee reports
- Job Summary – brief description of main job functions
- Specific job duties and responsibilities
- Minimum level of education and experience required.

6.1.3 STEPS TO DEVELOPING JOB DESCRIPTIONS

Whether you are writing new job descriptions or revising old ones, it is important to start with a review of the organization's mission and goals. The mission will provide you with information about the values, characteristics and personal qualities that you want to be reflected by all staff. The goals will provide you with the information about the types of activities which must be carried out and the skills and qualifications these will require.

- Make a list of tasks which will constitute the particular job. Review the lists of tasks to determine which are considered essential to the job and rate the relative importance of each task. Eliminate those which are not essential or important.
- Cluster similar types of activities, or jobs, into broad categories and determine the major types of job duties indicated by each category.
- Analyze the job categories to identify the knowledge, skills and qualifications required to successfully carry out the major duties. These can include:
 - Formal education and/or credentials
 - Particular types of previous work experience in the job area
 - Particular types of additional management/supervisory experience
 - Specialized skills, i.e., communication, problem solving, technical or language expertise
- Consider any other special requirements of the job, i.e., travel obligations, evening, or week-end work
- Link the knowledge, skills and abilities to the job tasks. The information generated from this analysis of the priority tasks and required qualifications is then used to establish job descriptions and a salary structure.

Job descriptions must be written before you select new staff members. Clearly written job descriptions will serve as a guide for the person in charge of recruiting new employees. Assessing candidates by the same criteria will help to ensure an equitable hiring process and will result in a qualified person being selected for each position.

The organization needs to have a current organizational chart. Each employee should be able to identify his/her position within the organization.

Natural groupings of positions may exist within organizations. For example, there may be administrative assistants in multiple departments with similar job responsibilities or general medical/surgical nurses with similar job responsibilities on multiple patient units.

In contrast, there may be many specialized positions such as an Operating Room Nurse for whom special training and skills are required.

6.2 SALARY POLICY

6.2.1 OBJECTIVES OF A COMPENSATION PLAN

Establishing a salary policy is a critical function of human resource management. It serves to support the organization's most valuable asset - its human resources. A salary policy should be equitable, structured and clearly understood.

A fair and equitable compensation system is fundamental to the integrity of an organization. The issues of fairness and a clearly defined system for promotion, merit and salary increases are critical to maintaining employee motivation and performance.

The basic objectives of a compensation plan are to:

- Attract the most qualified persons available to meet the organization's needs.
- Provide equitable remuneration to employees in accordance with their assigned duties and responsibilities.
- Motivate and stimulate employees to perform at above average levels.
- Encourage the retention and productivity of qualified personnel.

6.2.2 ELEMENTS OF A COMPENSATION PLAN

The basic features of a compensation plan are:

- Compensation comparable to that offered by other organizations with similar missions.
- Classification of jobs within the position structure is fairly established through periodic evaluation of the job requirements and comparison with other jobs within the organization.
- The primary criterion for salary advancement and promotion is on-the-job performance.

6.2.3 A JOB CLASSIFICATION STRUCTURE

A Job Classification System is the basis of the salary policy. Jobs are clustered into groups with similar levels of skill, experience and responsibility. Typically the first level may be comprised of drivers or guards. The highest level will be the executive managers. Levels in-between include administrative services, non-clinical support services, clinicians, department managers, technical specialists, etc.

6.2.4 SALARY RANGES WITHIN A CLASSIFICATION

A *salary range for each classification* is determined by a market analysis of pay scales for similar jobs in like institutions in the same local and/or similar geographic areas. It may be necessary to analyze a broader geographic area if there is a shortage of qualified people available locally for some positions, (i.e., computer programmer). Market research is fundamental to establishing a salary policy. The organization must remain aware of the market to ensure that it remains competitive and is able to retain qualified, experienced staff. . Market salary surveys should be done on a predetermined, regular basis such as every two years.

It is often difficult to change a salary structure after it has been implemented. It is therefore important to establish ranges within each classification level that allow for market change flexibility and professional growth of staff members.

When placing jobs into groups for determining salary level some questions to ask are:

- Within a job classification level, what are the differences in responsibilities and tasks of the different jobs? Does the range of responsibilities found within the job descriptions reflect the grouping?
- Does the salary range established for the level accommodate those differences?
- Do the current positions fit within these ranges?
- How might you define the levels of responsibility and accountability for each range?

6.2.5 STARTING SALARIES

Particular attention should be paid to the starting salary in each salary range to ensure equity across the organization.

- What will be the basis for establishing a starting salary?
- How heavily should experience and/ or academic background be weighed?
- How will the organization clearly communicate how the starting salary is calculated?
- Do current starting salaries fit in with these qualifications? If not, do adjustments need to be made? If so, how will the adjustments be implemented?

6.2.6 AWARDING PERFORMANCE

Each salary range should include steps which provide opportunity to equitably increase salaries for high performance and professional growth.

It is common for a given salary range to have three steps for staff in that range. Establishing these salary ranges for each band/ level accommodates promotion and is important for the retention of staff.

6.2.7 COST OF LIVING ADJUSTMENTS

Cost of living adjustments are a regular part of a salary policy. The organization needs to have a policy that covers cost of living adjustments that are equitably distributed to all employees on a consistent basis.

6.2.8 COMPENSATION COMMITTEE

The organization should establish a non-partisan body to regularly review salaries to assure that they are fair and competitive. The Compensation Committee should meet on a regularly scheduled basis to approve new job description classifications and recommended salary range adjustments.

7. ORIENTATION⁶

7.1 INTRODUCTION

All new staff should receive a formal orientation to the organization. The orientation serves to introduce employees to the rules and regulations of the institution. The orientation is also an opportunity for the organization to re-enforce its goals and values and gain the new employee's commitment to these.

7.1.1 ORIENTATION CHECKLIST

- Prepare orientation packet
- Make sure the new staff member has a place to work and the necessary supplies
- Schedule necessary in-house meetings to link employee with other staff relevant to the job
- Explain the mission, goals and objectives of the program
- Explain the structure of the organization and the lines of authority
- Explain the work rules, regulations and procedures for your department and give the new staff member(s) copies of personnel policies
- Provide any training necessary for the employee to do their job
- Formally introduce employee to all staff
- Inform other staff of the role of the new employee and vice versa
- Set clear performance objectives and tasks for the first three months of work.

⁶ Adapted from Management Sciences for Health, Human Resources Toolkit, 2009

8. PERFORMANCE PLANNING AND REVIEW⁷

8.1 WHY DO ORGANIZATIONS NEED A PERFORMANCE PLANNING AND REVIEW SYSTEM?

A Performance Planning and Review System, when used regularly, provides the organization with a means of managing the performance of staff and answers the three most basic questions of employees:

- What am I supposed to be doing?
- How well am I doing it?
- Does it matter to the organization?

Performance Planning: Identifies critical performance objectives for each staff member so that he/she clearly understands his/her duties, what is expected of them and how the work is linked to the overall goals of the organization.

Performance Review: Review an employee's overall achievement, based on a clear understanding of the previously established performance objectives, with constructive feedback, both positive and negative.

- While the performance review does not serve automatically as a salary review, the information which results from the performance review guides management decisions on salary and merit awards, promotions, transfers, work assignments and staff development needs.
- Performance reviews provide knowledge of where the overall performance strengths and weaknesses are in the organization and where changes are needed.
-

8.2 IMPORTANT FEATURES OF A PERFORMANCE PLANNING AND REVIEW SYSTEM

- Management commitment to the concepts of performance planning and review
- Emphasis on communication between supervisor and staff member and joint work planning
- Job duties linked to the goals of the organization
- Performance objectives set for employees at all levels of the organization, including senior management
- Performance objectives are specific, realistic, measurable and time bound
- Emphasis on developing employee motivation, skills and career paths
- Performance as the basis for management decisions

⁷ Adapted from Management Sciences for Health, Human Resources Toolkit, 2009

8.3 ADVANTAGES OF A PERFORMANCE PLANNING AND REVIEW SYSTEM

If implemented effectively, a Performance Planning and Review System can:

- Reinforce your organization's goals and priorities
- Communicate your organization's work values
- Define the work which people do and how it is related to the organization's mission
- Provide information to all employees on expected level of performance
- Provide performance information for career and compensation decisions

Time Frame: Performance Planning and Review meetings between supervisors and staff are normally conducted every six months. A newly appointed staff member will establish performance objectives with his or her supervisor during the first month of employment

8.4 COMPONENTS OF A PERFORMANCE PLANNING AND REVIEW SYSTEM

- Policy Statement: The organization's philosophy about employee performance and its commitment to a Performance Planning and Review System, communicated to all employees.
- Human Resources Department Staff: Staff who are assigned to develop, implement, monitor and support the system.
- Performance Planning and Review Process: A well defined process for implementing the system which is communicated to all staff and involves joint planning and review by the employee and supervisor.
- PP&R Tools: An employee manual which describes the system, employee job descriptions and standard forms for documenting work planning and performance review meetings.
- Training: Training for all staff, supervisors and supervisees, on the system and its purpose

8.5 THE PERFORMANCE PLANNING AND REVIEW PROCESS

The Performance Planning and Review Process is a *collaborative effort* between the supervisor and employee. It begins when a person is hired to do a specific job and ends when she or he leaves the organization. The major steps in the process are as follows:

- Work Planning: The supervisor and employee jointly review the employee's job description. The supervisor discusses the organization's priority goals and, with the employee and establishes the employee's specific job objectives and activities for the next time period.
- Performance Planning: The supervisor and employee discuss and agree on performance standards and goals, (quantity, quality, timeliness) for the employee's performance objectives. Training and resource needs to meet the performance objectives are also assessed.
- Performance Review: At the end of the designated time period, the supervisor and employee jointly review the employee's performance according to the established performance objectives and performance standards. Personal development and work plans for the next time period are established.

8.6 STANDARDS FOR PERFORMANCE

It is critical that your organization have a commitment to achieve the highest level of performance possible and that this philosophy is translated into work values that everyone in the organization knows and understands. The employee's performance review should consider not only the specific performance objectives for the individual employee, but also the overall standards of the organization. These may be different for different types of organizations, but they should reflect the work values of the organization. Examples of organizational standards include:

The extent to which the staff member demonstrates:

- Teamwork: works collaboratively with colleagues
- Planning: wherever possible, plans carefully to anticipate and avoid problems
- Organization: manages time well
- Resource Use: seeks and uses human and financial resources wisely
- Cooperation: is willing to accept reasonable responsibility and help others
- Motivation: is willing to learn new tasks
- Initiative: takes active steps to improve the organization
- Integrity: demonstrates personal integrity in the conduct of his or her work
- Respectful: instills trust and respect among clients and co-workers
- Punctuality: respects the value of time for self and others
- Attendance: is committed to the terms of his or her work agreement

Performance Standards for Supervisors:

Supervisors have a particular responsibility for achieving positive results and should be evaluated on additional standards. How well does the supervisor:

- Gain the respect and confidence of his or her staff
- Define roles and delegate responsibility
- Communicate priorities and assess results
- Actively seek to develop employee performance
- Respond promptly to the resource, information and management needs the staff
- Maintain confidentiality

Supervisory Skills Training: Depending on the amount of experience and training your supervisory staff has, it may be necessary to provide additional training on the role of a supervisor and basic supervisory skills: communication, delegation, motivation, conflict management, conflict resolution, and time management.

8.7 ORIENTATION AND TRAINING FOR ALL STAFF ON PERFORMANCE PLANNING AND REVIEW

The following topics are recommended to form the core content of staff training on the Performance Planning and Review System:

- What is a Performance Planning and Review System?
- Why is it important to our organization?
- Why does it work?
- What role does each employee play?
- How is it linked to the organizational mission and goals?
- How is it linked to staff development?

Training and communication about the Performance Planning and Review System across all levels of the organization is important for an effective system. As Performance Planning and Review involves the collaboration of everyone, all staff needs to understand how it works and be prepared to support it. It is important for the leadership of the organization to be visible in this process and provide the human and financial resources necessary to make training for supervisors and new employees happen on a regular basis.

8.8 CRITERIA FOR PERFORMANCE OBJECTIVES

Performance Objectives must be:

Specific: Objectives must communicate the activity exactly and clearly. They should specify clearly *what* is to be done, *when* it is to be done, *who* is to accomplish it and *how much* is to be accomplished.

Challenging but Realistic: Objectives must be attainable, matching the level of complexity and difficulty with the employee's experience and capability. If they are too easy, the employee will be bored; if they are too difficult, the employee can lose confidence and not succeed.

Consistent with Authority: An individual's objectives must be consistent with the authority she or he has

Measurable: The outcome of the objectives should be measurable.

Time Bound: Performance Objectives should be clear about the time frame in which they are to be achieved.

8.9 IMPLEMENTATION CHALLENGES

Organizational Challenges:

- lack of positive leadership
- lack of adequate resources for training and development
- inability to create a common goal and a supportive climate
- limited organizational capacity for change
- limited tolerance for risk-taking
- inflexible organizational structure and communications systems

Staff Challenges:

- resistance to change
- fear of negative consequences
- lack of skills needed to perform the basic functions of their job successfully

Supervisory Challenges:

- organization highly decentralized
- inadequate number of supervisory staff
- inadequate supervisory skills and knowledge
- dual responsibilities and lack of time to perform the process
- resistance to teamwork and collaborative process
- lack of understanding of the importance of planning and feedback to achieve results
- lack of accountability

Practical Steps to Prevent Employee Dissatisfaction:

- implement the process with as much consistency as possible
- investigate any significant discrepancy between performance ratings and salary/merit recommendations
- conduct a second level review of all recommendations to monitor equity
- document the process with written forms which are kept in the employees' personnel files with access by employees
- adhere to the time frames

9. RECRUITMENT AND HIRING⁸

9.1 INTRODUCTION

Recruitment and hiring are two of the more critical management functions of the organization. It is important for the organization to have a clear commitment to recruitment and hiring practices which are equitable to all people and free of bias against individuals because of their gender, race, color, religious creed, sexual orientation, age, disability, or HIV/AIDS status. Every member of the management team must be encouraged to maintain a non-discriminatory process of recruitment and hiring.

9.2 RECRUITMENT

Recruitment activities begin with an analysis of the jobs required by the organization to fulfill its mission and also an analysis of the employment environment in which it operates. An understanding of the level and number of qualified people available to fill positions will help focus and direct the recruitment activities. This is true for recruiting from within as well as from outside of the organization.

It is also important that the organization fully support its recruitment staff and their activities as a critically important management function. Both the way the recruitment process is conducted and the resulting hiring decision have a lasting and direct effect on the success and performance of the organization. The organizational policy should be, at all times, to engage in ethical and responsible business practices and to make employment decisions based on acquiring the most qualified staff available to fulfill its mission.

9.3 STEPS IN THE STAFF RECRUITMENT/HIRING PROCESS

The chart below illustrates a series of steps for a staff recruitment and hiring process and designates the office/individual responsible. These are designed to provide a coordinated and logical sequence of events, since an unsystematic approach may cause confusion or legal difficulties for the organization.

Steps	Office Responsible
1. Identify need for position	Program Mgr./HRD Office
2. Develop/Classify Job Description	Program Mgr./HRD Office
3. Approve Position to be filled	Organization Management
4. Internal Posting if appropriate	HRD Office
5. Develop/Implement Recruitment Plan	HRD Office
6. Screen Candidates' resume	Program Mgr./HRD Office
7. Make initial Contact with Candidates	Program Mgr./HRD Office
8. Conduct Interviews*	Program Mgr.
9. Conduct Reference Checks	Program Mgr.
10. Make Hiring Decision	Program Mgr./HRD Office
11. Make Employment Offer, Negotiate Salary	HRD Office
12. Document the Hiring Process	HRD Office
13. Conduct Orientation for New Employee	HRD Office
14. Conduct Performance Planning with New Employee	Program Mgr./Supervisor
15. Review Probationary Period	Supervisor
16. Confirm Employment Status	Supervisor

⁸ Adapted from Management Sciences for Health, Human Resources Toolkit, 2009

10. SUPPORTIVE SUPERVISION⁹

10.1 INTRODUCTION TO SUPERVISION

Supervision is defined as:

Supervision is an essential management activity within Human Resource Management (HRM) and impacts both the performance of individual staff and the organization as a whole.

Supervision aids in planning or refining activities, organizing tasks, and monitoring performance. It is necessary for staff to be aware of all standards, performance expectations and tasks in order to keep the organization running efficiently. Staff also needs on-going support and feedback with regard to their work. Supervision plays an essential role in the following areas:

"A range of measures to ensure that personnel carry out their activities effectively through direct, personal supervisory contact on a regular basis to guide, support and assist designated staff to become more competent in their work"

(Management Sciences for Health Supervision Workshop, November 1998)

- Communication and implementation of the organization's goals and objectives
- Clarification of individual job description and work plans
- Resolution of problems
- Improving the quality of performance at all levels
- Staff support, direction and feedback
- Meeting performance goals and standards

The purpose of this supervision manual is to provide guidelines for all staff on how to engage in supervision. It will address the concept of *supportive supervision*, outline the primary characteristics of an effective supervision system and the role of the supervisor within the system.

10.2 SUPPORTIVE SUPERVISION AND CHARACTERISTICS OF AN EFFECTIVE SUPERVISION SYSTEM

The purpose of supervision is to help the organization to:

- Meet needs of clients by delivering safe and quality services
- Support good provider performance, enabling them to meet the needs of clients
- Improve the health status of the country

Supportive supervision consists of:

- A supervisory structure, supervisory activities, and systems that support and monitor performance
- An approach for supervisors to recognize their roles and responsibilities in creating conditions that support or facilitate the work of providers and other staff

⁹ Adapted from: Supervision Guidelines Developed by Management and Leadership Program Management Sciences for Health - December, 2003

A supportive supervision system guides supervisors in planning, directing and managing the performance of their employees. The system supports employees in the careful planning and implementation of their designated work in order to achieve the organization's mission.

The primary characteristics of a good supportive supervision system are that:

- Supervision is valued and supported within the organization
- All staff has a clear idea of the objectives or purposes of supervision through their job descriptions, supervision training, supervision policy manual, new employee orientation and on-going staff meetings
- There are defined levels of authority and interaction in the organization
- Appropriate protocols exist, such as technical and administrative norms and procedures
- Staff functions are defined and communicated throughout the organization
- There are trained supervisors
- Adequate resources (financial and human resources) exist for planning, implementing and evaluating supervision
- Supervision helps staff work more effectively and efficiently to serve the clients and population
- There is a clear procedure for joint work planning and performance review

Supportive supervision advocates for the building of a relationship that fosters support and encouragement from the viewpoint and input of both the supervisor and employee but does not neglect performance. It provides the opportunity to not only evaluate performance, but to also foster the professional development of an employee.

A System Based on Supportive Supervision

SHOULD BE

- Thorough: goes beyond administrative supervision
- Supportive: facilitates improvements
- Proactive: aims to close performance gaps and prevent future problems
- Focuses on work processes and support systems
- Continuous

SHOULD NOT BE

- Superficial
- Punitive and critical
- Reactive and looking for mistakes
- Focusing only on the individual worker rather than on the work process and systems
- Sporadic

A strong supervision system, linked to improved quality, will allow the organization to:

- Develop work plans and performance objectives
- Evaluate the performance of its employees
- Provide further training, guidance and coaching
- Provide support and opportunities for development
- Address performance problems

10.3 COMPONENTS OF A SUPERVISION SYSTEM

Organizational structure and reporting relationships

Supervisory relationships are determined by the lines of authority in the organizational chart.

Up-to-date job descriptions

Up-to-date job descriptions should exist for every member of staff. Job descriptions should describe the overall responsibilities, specific duties, rights, job evaluation and reporting relationships for every category of staff. They should be reviewed at least once a year to ensure that they are up-to-date.

Work planning system

Each department should have a work plan which defines annual goals and objectives for that department. These goals and objectives should then be reflected in the goals and objectives for each member of staff.

Technical and administrative norms

Technical and administrative norms should exist for all clinical and administrative activities. These norms should be used to help supervisors and supervisees monitor their performance on a

Training process and system

An important role of supportive supervision is to identify the training and development needs of supervisees. The supportive supervision process should be linked to training and development opportunities which are defined, managed and funded through an organizational training process and system.

Frequency of Supervision

On- going supervision meetings should be held at least once per month to monitor the work. In addition, formal planning and review meetings should occur three times a year. In the first meeting, the supervisor and the supervisee develop the individual's work plan for the coming year and agree on performance standards. Mid-way through the year, supervisor and supervisee meet to assess progress on the overall work plan and make adjustments if necessary. In the third formal meeting, they jointly evaluate the individual's performance.

Personnel Policy Manual

An up to date personnel policy manual is an essential part of good supervision. Supervisors and staff, both long term and new hires, must know what the 'rules' are.

Information about standard guidelines for hours of work, compensation, absenteeism, promotion, etc. should be available to all staff.

Suggested list of contents of a personnel policy manual:

1. New hires:

- Is there an probationary period?
- What are the accepted conditions not to confirm a new employee as permanent after the probationary period?
- What is the procedure for communicating the status of the employee after the probationary period?

2. Hours of work:

- What are the regular hours when an employee is expected to be at work?
- What are the conditions of working outside hours?
- What are considered to be official holidays?
- How is vacation time computed? How much is allowed?

3. Compensation:

- What is the policy around salary for overtime, allowances, travel?
- How are timesheets handled?
- What is the policy in regard to outside relationships and consulting?

4. Personnel Files:

- What is the organization's policy on personnel files?

- How does the employee have access to his/her file?
 - What is the policy on disclosure of personnel information to others?
5. Absence from work for health or personal reasons
- What is the eligibility for sick leave?
 - What is the policy on leave without pay?
 - What is the policy on maternity leave?
6. Safety and health policies:
- What is the policy if a staff member is injured on the job?
 - How should this be reported?
 - What should the supervisor do in regard to covering for the duties of the injured employee until he/she returns to work?
7. Promotion:
- What are the rules governing promotion?
 - How do you recommend your supervisee for this?
8. Termination:
- What is the policy around termination?
 - For poor performance? For misconduct?
 - What is the process? What needs to be documented?

10.4 DO'S AND DON'T'S OF SUPERVISION

Five Key Rules of Fairness

The person(s) you supervise must:

- Know what is expected of them
- Know how to do their job, or be willing to learn
- Be given a supportive work environment
- Receive appropriate consequences for the work they (don't) do
- Be given accurate and timely feedback about their job performance

Do's and Don'ts for Supervisors

- Do get to know your supervisee(s)
- Don't expect them to mind-read
- Do explain why
- Don't blame others for your mistakes
- Do praise when it is merited
- Do criticize constructively and privately
- Do supply feedback
- Do share information
- Do give credit
- Do listen and support your staff
- Don't expect support to substitute for money and vice versa
- Don't promise rewards you can't deliver
- Do follow through on promises

- Don't constantly demonstrate that you are the boss
- Do learn to delegate
- Don't rush to change things
- Do set a good example
- Don't concentrate on popularity, concentrate on respect
- Do seek to improve yourself
- Do use your authority wisely

10.5 SUPERVISOR COMPETENCIES

Leadership

- Grow and develop employees while getting things done.
- Help employees to learn from their mistakes.
- Allow employees to make their own commitments.
- Be concerned about and look out for the welfare of the employees.
- Adapt leadership style to employee and situation.
- Set the example.

Communication

- Foster a welcoming environment for 2-way communication.
- Effectively listen (show interest in what others have to say); seek to understand, then, to be understood.
- Give specific, immediate, constructive feedback.
- Effectively accept feedback and takes action.
- Understand organization's mission, goals and processes and communicates to staff.
- Understand organization's objectives as listed on the work plan, and be able to communicate them in order to achieve them.
- Understand and communicate to staff the spirit of the government and/or donor's intentions; ensure required procedures are observed.
- Hold regular meetings to communicate big picture.
- Maintain weekly contact with field staff (*telephone, emails, reports, etc.*).
- Maintain effective open communication with employee's technical leaders.
- Conduct effective meetings. (*Keeps agenda; monitors time; achieves objectives; does not call a meeting without a reason*).

Cultural Sensitivity/Managing Diversity

- Demonstrate skill in handling diversity issues in general.
- Work effectively with employees from different cultural backgrounds
- Demonstrate respect for and understanding of different points of view in daily work
- Be sensitive to cultural formal and informal nuances in the office and in the field.

Problem Solving and Decision Making

- Identify problems early and be a resource to facilitate problem solving within and outside work group.
- After analyzing a situation and consulting with peers if necessary, use good judgment to make sound and well-informed decisions.

- Facilitate solutions to disagreements between staff on technical issues.

Administration/Human Resources Management

- Be familiar with legal human resources management issues (*harassment, discrimination, etc.*), and understand legal implications of action/inaction.
- Know and follow organization's recruitment/interviewing concepts/process; know which questions can and cannot be legally asked; make positive impact on applicant.
- Assign work for maximum utilization of resources (coordinates with other technical staff).
- Along with employee, set and communicates clear goals and expectations during first two weeks after hiring.
- Monitor employee's performance; conduct Performance Planning and Review with input from technical leaders. Hold employee accountable for behavior/performance, and take action promptly even when difficult.
- Demonstrate knowledge of/sensitivity to labor and employee relations issues.

Coaching and Empowerment

- Share knowledge with employees.
- Give honest recognition for good work.
- Give credit for ideas/contributions in front of others.
- Be supportive of employee's technical work (*available to answer questions; problem-solve; bounce ideas*).
- Provide resources for employees, removing roadblocks where necessary, and then moves out of the way.
- Trust employee's ability and expertise.
- Delegate effectively; managing so that her/his group can run without her/him.

Motivating and Interpersonal Skills

- Treat employees with respect.
- Promote a participative vs. an authoritative work environment; welcome ideas and suggestions and put them in practice.
- Inspire and guide others toward accomplishing goals.
- Know and be able to use staff's strengths and interests.
- Be supportive
- Understand a situation from the employee's point of view.
- Demonstrate an accessible, approachable demeanor.

Self Management

- Prioritize simultaneous responsibilities/requests (is able to determine and complete what needs to be done first).
- Demonstrate patience with changing priorities.
- Find effective ways to limit or manage interruptions that impede ability to be productive
- Effectively balance work and personal life.

Supervisors need to be trained or exposed to a set of skills in order to be effective as supervisors. These include interpersonal communication, especially the skill of giving both positive and negative feedback. Other useful skills for supervisors include delegation, conflict resolution, and being able to have difficult conversations with staff.

II. DEVELOPING AN ANNUAL TRAINING PLAN¹⁰

II.1 INTRODUCTION

It is essential to first conduct an appropriate organizational assessment to identify the priority training needs of employees in relationship to the organization's goals. This assessment need not be complex or time consuming, but it should be based on rational data about the current competencies of the staff as well as knowledge of the priority goals of the organization. Once the needs are identified, it is important to develop an annual training plan and get agreement from the executive director and senior management for its implementation.

II.2 GOALS OF A TRAINING PLAN:

- To link training with the priority goals of the organization
- To identify the specific training activities and the employee target group(s)
- To realistically plan for resources needed
- To get agreement from management to support employee participation
- To support the career development needs of employees

II.3 PROCESS

- Meet with the appropriate organizational planning committees to determine the priority goals of the organization for the coming year.
- Meet with key managers and supervisors to assess the knowledge, skills and abilities of the existing staff. Is additional training needed in order for them to achieve the stated goals?
- After developing a consensus on the types of training activities necessary to develop staff capacity to meet the organizational goals, develop a training plan.
- Determine if the necessary resources and revenues are available
- Meet with senior management to gain agreement on the training plan and its implementation schedule.

II.4 SUGGESTED FORMAT FOR A TRAINING PLAN:

Organization al Goal	Training Activity	Target Group	Time Frame	Location	Resource(s)
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¹⁰ Adapted from Management Sciences for Health, Human Resources Toolkit, 2009