

Human Resources for Health Management Toolkit

Developed to assist managers in day-to-day HR management

Module 2:

Human Resource Management & Risk Management



Partnership for Reviving Routine
Immunisation in Northern Nigeria;
Maternal Newborn and Child Health Initiative

www.prrinn-mnch.org

Acknowledgement

Human resource management is key to providing quality health care services. The understanding of the dynamics and management of human resources is the bedrock around which service delivery revolves.

The PRRINN-MNCH programme has over the last 7 years been actively involved in several ways to solve the challenges of managing human resources in the 4 states of its operations (Jigawa, Katsina, Yobe and Zamfara). This manual is one of the modest efforts by the programme to support states to address the challenges of human resource management.

In the course of its work, the programme realised that human resource management, as a distinct work stream, has been lumped together with personnel management. This has led to the neglect of key human resources activities and its attendant effect of overall performance and management of human resources. This manual therefore provides key managers with the basic step-by-step process of managing human resources.

During the development of this manual, several individuals have contributed to this final document. I would like to acknowledge the contribution of the Consultants led by Michael Siebert; State Teams under the leadership of the STMs; State Stakeholders led by Permanent Secretarie and Office of the Head of Service in Jigawa, Katsina, Yobe and Zamfara States. The Directors of Personnel Management and members of the respective states Human Resources for Health Coordinating Committees have all played significant role in refining this document and its adoption by the states. Also worthy of mention is the Programme's HR LECs who have been responsible for the day-to-day follow up in the development of the manual.

It is my hope and prayers that Human Resources Units of the respective states SMOH and other agencies will utilise this document to improve the quality of their work.

I would also like to acknowledge the funding for this document by UK and Norwegian Government through DFID.

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National Programme Manager

PRRINN-MNCH

Human Resources for Health Management Toolkit

Foreword

This *Human Resources for Health* Management Toolkit is a step-by-step guide for health planners and managers to improve planning and management of human resources (HR), for the health system as a whole and within health facilities. It aims to help address some of the acute problems from shortages of skilled, experienced health workers.

The HRH toolkit is partly the output of PRRINN-MNCH in northern Nigeria, the Partnership for Reviving Routine Immunisation in Northern Nigeria /Maternal Newborn and Child Health programme funded by the UK Government and State Department of the Norwegian Government for the benefit of the Nigerian people. Many staff and officials in the states where PRRINN-MNCH works and team members of PRRINN-MNCH have helped to develop and test this toolkit – their contributions are gratefully acknowledged. The output is also the result of ongoing collaboration in a number of countries between health professionals of Health Partners International and Health Partners Southern Africa.

PRRINN-MNCH works with federal, state and local governments and local communities to improve the quality and availability of maternal, newborn and child health care.

This management toolkit does not necessarily reflect the views or policies of the UK Government, the Nigerian Government or any of the state governments with which we work. However we hope it will provide useful, practical assistance and guidance for human resources managers in their work.

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Chair, Health Partners International, UK

February 2014

Preface

In any developing public health sector HR forms the foundation of health care service delivery. The key however is making sure that Ministries of Health have the right people with the right skills in the right positions in the right number at the right places. In Northern Nigeria the scenario is no different. In an effort to achieve this, PRRINN-MNCH embarked on a process of strengthening the HR function within the ministries through initiatives such as establishing HR Units with clearly defined objectives and responsibilities. These HR Units however needed basic step-by-step guidance as to not only to administrate HR but to comprehensively and effectively do HR Planning, HR Management and HR Development. Facing the shortage of qualified HR practitioners, the Human Resources for Health (HRH) Toolkit was developed from a wide range of sources to provide a reference document to assist HR officers and managers with HR related functions.

This toolkit is not all-inclusive and covers the key aspects around HR within the Northern Nigerian context and is aimed at addressing the basic elements of HR. Although Northern Nigeria is unique with specific challenges around HR management, planning and development, the basic principles of HR remains the same. The Toolkit therefore applies academic/theoretical HR methodologies and approaches into day-to-day actions.

The HRM Toolkit consists of 10 Modules as listed below.

Module 1: HR Planning

Strategic HR planning predicts the future HR management needs of the health services after analyzing the current human resources, the external labour market and the future HR environment that the MoH will be operating in. The analysis of HR management issues external to the organization and developing scenarios about the future are what distinguishes strategic planning from operational planning. The basic questions to be answered for strategic planning are: Where are we going with health services and how does that impact HR? How will we develop HR strategies to successfully get there, given the circumstances? What skill sets do we need?

Module 2: HR Management & Risk Management

Ministries with good governance practices clearly establish the division of authority and accountability among the senior management, HR director and line managers. The role of the senior management is governance and the role of the HR director is management. Sometimes the roles can get hazy. In clarifying whose job it is, the senior management and the HR director must always keep in mind the legal responsibilities and liabilities as the employer.

Module 3: Recruitment & Retention

Making sure you recruit well is so important. Committed, motivated, qualified employees help your ministry achieve its purpose. Health service providers cannot afford to be short-staffed. Limited financial resources mean that hiring mistakes can be a huge financial burden. Hiring the wrong person is a poor use of resources for recruiting and orienting a new staff member. Having clearly defined recruitment process and procedures prevents costly recruiting mistakes. Repairing the damage can take a lot of time and effort.

Module 4: HR Performance Management

Performance management is a process by which managers, supervisors and employees work together to plan, monitor and review an employee's work objectives and overall contribution to the ministry. More than just an annual performance review, performance management is the continuous process of setting objectives, assessing progress and providing on-going coaching and feedback to ensure that employees are meeting their objectives and career goals.

Module 5: HR Discipline

Clear expectation, appropriate supervision and feedback on a day-to-day basis are the best ways to avoid the necessity of implementing a discipline process as outlined below. However, when problems with behaviour or performance occur, discipline is necessary. By implementing a discipline process, you provide employees with an opportunity to become a productive part of your Ministry and you make any termination more defensible.

Module 6: Employment Termination

Termination is an action taken by the Ministry to end the employer/employee relationship. Ministries have a basic right to terminate the employment of an employee, but along with that right comes responsibilities. Employers must comply with the employment/labour standards and human rights legislation for their jurisdiction and beyond that, employers must treat employees fairly and in good faith.

Module 7: Diversity in the workplace

Building and sustaining diversity in Ministries can only be achieved by planning and design. It is therefore increasingly important to address how to support diverse, inclusive workplaces. What does a diverse inclusive work environment look like? How do we tangibly encourage and support diversity so that all people feel welcome within our workplaces irrespective of their gender, disability or race? When people feel welcome and safe from discrimination and harassment they are more motivated and their performance will improve. Absenteeism and performance problems decrease while productivity, morale and employee retention increase.

Module 8: Effective HR Teams

Despite the daily onslaughts of e-mails, phone calls and memos, meetings are still one of the most effective ways that people share and exchange information, get feedback, plan, collaborate and make important decisions for their ministries. So why do meetings have such a negative impact? Meetings seem to be getting longer, more frequent and generating fewer results. This can result in employees becoming frustrated as they feel that meetings are taking them away from, rather than adding value to their work. Ministries can increase the effectiveness of their team through effective communication, management of conflict and setting-up work teams.

Module 9: HR Training & Development

The changes in the public sector has had an impact on workplace learning. Think of the current positions in your ministry and the need for increased competence in change management, financial management, service delivery management, and so forth. Change also puts the spotlight on training and education as a means of equipping health workers with the tools they need to adapt to changing health skill requirements, organizational change and increasing complexity in the external public health environment.

Module 10: HR Information System

Computers have simplified the task of analysing vast amounts of data, and they can be invaluable aids in HR management, planning and development, from payroll processing to record retention. With computer hardware, software, and databases, Ministries can keep records and information better, as well as retrieve them easier and quicker. HRIS (Human Resources Information System) is an integrated system designed to provide information used in HR decision making. The HRAdmin software was developed and implemented in the four PRINN-MNCH states. This module provides end-users with the know-how of utilising the system to its full potential.

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1. Roles & Responsibilities in HR Management

In a most ministries, there are three participants in HR management: the Senior management, HR managers and line managers who directly supervise the work of other staff.

The level of autonomy of a line manager for HR activities will depend in part on the size of the ministry. Also recently ministries have a dedicated HR management position, some of the roles assigned to the permanent secretary and the line manager will be the responsibility of the HR manager.

Ministries with good governance practices clearly establish the division of authority and accountability among the senior management, HR director and line managers. The role of the senior management is governance and the role of the HR director is management. Sometimes the roles can get hazy. In clarifying whose job it is, the senior management and the HR director must always keep in mind the legal responsibilities and liabilities as the employer.

How can managers of the HR departments/units demonstrate good governance?

- ✓ Fulfil your duties of diligence, skill/competence, loyalty, and obedience
- ✓ Know your responsibilities and liabilities
- ✓ Educate yourself about effective and relevant HR management
- ✓ Attend HR forum and other meetings
- ✓ Read all documents in advance of the HR forum and other meetings
- ✓ Ask questions
- ✓ Review the minutes of each meeting and follow up on action plans
- ✓ Establish sound human resources management policies and practices
- ✓ Seek a legal opinion before important human resources management decisions are made

2. Supervision and managing

Good supervision and management affects ministry results and the overall work environment. A strong supervisory and/or management team that contributes to a positive work environment and enables employees to be and feel successful can provide your ministry with a competitive advantage in attracting and retaining talented employees - which is critical in a sector that faces challenges in recruiting and retaining top employees. Good supervision is based on clearly defining the role of supervisors and managers in your ministry, and ensuring supervisors have the requisite competencies to carry out their role effectively.

2.1 Role of a manager or supervisor

Supervisors manage both processes and people.

Process responsibilities include activities such as:

- ✓ Work unit planning
- ✓ Budgeting
- ✓ Scheduling
- ✓ Task/work assignment
- ✓ Work implementation and problem solving
- ✓ Monitoring work unit progress
- ✓ Evaluating results

People responsibilities include activities such as:

- ✓ Developing work team and individual employee skills and capabilities
- ✓ Motivating employees
- ✓ Monitoring and providing feedback on day-to-day performance
- ✓ Conducting formal performance reviews
- ✓ Carrying out disciplinary activity

Key HR Principal

Managers and supervisors with the responsibility for managing the efforts of others are provided with appropriate learning opportunities to develop their supervisory/managerial skills.

In the majority of ministries and facilities, supervisors typically have dual roles: that of supervisor and that of worker. This means that a percentage of a supervisor's time is spent on supervisory activities and a percentage of their time is spent on doing his or her own functional/technical activities. Typically the amount of time spent on supervisor activities, versus functional/technical activities, increases with:

- ✓ The seniority (level) of the managerial job
- ✓ A greater number of employees being supervised
- ✓ Greater complexity of the goals and responsibilities within the function
- ✓ Lower expertise and knowledge of employees being supervised
- ✓ Greater risks associated with the work being completed

2.2 Functions of a supervisor

The following are examples of typical supervisory functions: people management and task management. Each ministry/department/unit/facility will need to define the functions that best meet their specific needs and what the proper balance is between the two functions.

2.2.1 People management functions

Typical people management functions of a supervisor include:

- ✓ Developing work team and individual employee skills and capabilities
- ✓ Motivating employees
- ✓ Monitoring and providing feedback on day-to-day performance
- ✓ Formal performance review
- ✓ Disciplinary action

2.2.1.1 Developing work team and individual employee skills and capabilities

As part of achieving objectives, supervisors need to ensure that their work team is comprised of individuals with the skills, knowledge, and capabilities to carry out the work. Supervisors can achieve the desired mix of skills, knowledge, and capabilities through effective staffing and/or through the development of current employees.

Supervisors should identify development needs jointly with their employees to determine appropriate development opportunities and activities. While the identification of development needs is often part of the formal performance management process, it is important to have the discussion with employees whenever assigning a new project or activity, or when the supervisor observes the employee struggling to achieve assigned objectives. Development opportunities could include things such as job shadowing, working on a particular task force or project or a temporary job assignment. Development activities could include coaching or mentoring (often from the supervisor, but could be from another employee or manager), on the job training or a training course

2.2.1.2 Motivating employees

Supervisors are responsible for ensuring that work unit goals and objectives are achieved. Critical to fulfilling this responsibility is motivating employees to successfully accomplish assigned activities. Supervisors can use a number of motivation techniques, including:

- ✓ Providing positive feedback on employee achievements
- ✓ Assigning interesting and challenging work
- ✓ Providing effective guidance, support and training
- ✓ Recognizing and rewarding positive performance
- ✓ Tailoring work assignments, rewards and recognition to individual employee needs and desires
- ✓ Leading by example (nothing is more de-motivating than a supervisor who expects employees to "do what I say" not "what I do")

The combination of process and people responsibilities results in a requirement for supervisors to have a combination of process management competencies and people management competencies. Those identified below are meant to provide examples of typical competencies required of supervisors. Successfully motivating employees requires:

- ✓ Identifying the results and behaviours expected of employees
- ✓ Discussing these expectations with employees to ensure mutual understanding and employee buy-in
- ✓ Aligning motivating techniques accordingly
- ✓ Celebrating success

2.2.1.3 Monitoring and providing feedback on day-to-day performance

While ministries have an annual performance review with all employees, effective people management is based on on-going feedback, coaching and support throughout the year. Supervisors are responsible for monitoring day-to-day performance and providing employees with timely and constructive feedback - both positive and negative.

Monitoring day-to-day performance does not mean watching over every aspect of how the employee carries out assigned activities and tasks. Supervisors should not micro-manage employee performance but instead should focus their attention on results achieved, as well as individual behaviours and team dynamics affecting the work environment.

2.2.1.4 Formal performance review

In most ministries/department/units/facilities supervisors are required to conduct a formal review with all of their employees (usually annually). Refer to the Performance Management section.

2.2.1.5 Disciplinary action

Supervisors are required to carry out disciplinary actions with employees, when required, to ensure performance expectations are met and a positive work environment is maintained. Refer to the Discipline section and the HR Policy Guidelines for more information on this function.

2.2.2 Process management functions

Typical process management functions of a supervisor include:

- ✓ Work unit planning and budgeting
- ✓ Scheduling
- ✓ Task/work assignment
- ✓ Implementation and problem solving
- ✓ Monitoring work unit progress
- ✓ Evaluating and reporting on results

2.2.2.1 Work unit planning and budgeting

Work unit planning involves establishing goals and objectives for the work unit being supervised. Work unit planning is done at the operational level, but should be developed

based on an understanding of the ministry's strategy (mission, goals and objectives) and how the work unit contributes to the achievement of that strategy.

One of the challenges that supervisors have in government is establishing concrete measurable goals, particularly when the mission of the ministry relates to the improvement of community, social, or individual welfare over the long term. As a management team, supervisors need to identify a combination of qualitative as well as quantitative measures for the ministry as a whole, and individually, for their own work unit.

Qualitative goals could relate to things such as the satisfaction of employees, patients, funders, reputation in the industry, recognition in the community, and service quality.

Quantitative goals could relate to things such as meeting budget targets, cost of administration versus service provision, clients served and employee turnover and retention.

For each goal, whether qualitative or quantitative, supervisors should reflect on and document:

- ✓ What - the activities involved and expected outcomes related to this goal
- ✓ How -- the activities and desired behaviors required to complete the goal
- ✓ When - the timing of activities and the target date for goal achievement
- ✓ Use the SMART system when developing your qualitative and quantitative goals

Budgeting is a key element of work unit planning. Budgeting is usually an iterative process, based on:

- ✓ Assessing the previous year's estimated and actual budget
- ✓ Determining the dollars needed to carry out the work required to achieve the upcoming year's goals and objectives
- ✓ Presenting the budget request to the senior management team
- ✓ Adjusting the budget and work unit plan to match the amount allocated by the senior management team

2.2.2.2 Scheduling

Scheduling can refer to assigning staff to particular shifts or work hours in unit/department where services are provided and/or activities occur outside the normal business week.

Scheduling can also refer to organizing work unit tasks for the day, week, month and/or quarter in order to produce outputs or deliver services in a timely manner. This includes coordinating with the outputs or services of other work units and ensuring that ministry needs and commitments are met.

2.2.2.3 Task/work assignment

Task/work assignment involves assigning specific work tasks and responsibilities to employees in the work unit. The supervisor:

- ✓ Determines the skills, knowledge and capabilities required to carry out the task
- ✓ Assesses the skills, knowledge and capabilities of the individual employees
- ✓ Assigns work to the most appropriate individual

When assigning work to employees, the supervisor needs to consider not only what each employee is capable of doing but also what assignments will provide challenges and development opportunities to employees.

2.2.2.4 Implementation and problem solving

The supervisor is responsible for ensuring that activities and tasks within the work unit are implemented effectively. This requires the supervisor to oversee the implementation of activities and tasks at the individual employee level as well as managing the implementation at the work unit level.

During implementation of activities and tasks the supervisor is often required to solve problems impacting the ability of the work unit to achieve its goals and objectives. The cause of the problem can be internal to the work unit, such as a lack

of skills, knowledge, resources, or time to complete tasks, or external to the work unit, such as coordination issues with other work units or external parties (i.e. funders, volunteers, patients). The supervisor needs to determine the root cause of the problem and determine an effective course of action to resolve the issue.

Key HR Principal

Employees expect to participate in many of the process activities defined as supervisory/managerial functions. A supervisor generally relies on the input and involvement of their employees to successfully fulfil these responsibilities. **However**, it is important to remember that it is the supervisor's responsibility to make the decision.

2.2.2.5 Monitoring work unit progress

Monitoring work unit progress on achieving goals and objectives involves tracking progress on projects and individual employee assignments. The tracking process should reflect the work cycles within the work unit (typically monthly or quarterly, but can also be weekly in certain work environments). Supervisors should develop a method for tracking progress that provides them with enough information at the right time to identify and resolve problems but is not overly burdensome to either themselves or their employees.

2.2.2.6 Evaluating and reporting on results

Supervisors are responsible for evaluating the results achieved by the work unit and reporting those results to their manager. Evaluation of results involves not only determining if planned goals and objectives have been met, but also how effectively they were met. The supervisor is also required to explain causes and impacts of unmet goals, as well as recommend solutions for addressing any issues/risks accrued to the organization as a result of unmet goals.

The content requirements and format of reports are usually established at the senior management level to ensure consistent measurement and reporting across the ministry.

2.3 Supervisor competencies

The combination of process and people responsibilities results in a requirement for supervisors to have a combination of process management competencies and people management competencies. Those identified below are meant to provide examples of typical competencies required of supervisors; it's not an exhaustive list. Each ministry needs to develop a unique set of supervisory competencies that reflects the job requirements and the organizational culture.

2.3.1 People management competencies

Examples of people management competencies include:

- ✓ Coaching
- ✓ Managing conflict
- ✓ Communication
- ✓ Group leadership

a. Coaching

In today's work environment, the role of a supervisor is not that of the authoritarian taskmaster. Supervisors are expected to coach their employees, not to micro-manage every aspect of how activities or tasks are accomplished. Coaching means providing direction, guidance, and support as required on assigned activities and tasks. Additionally, as a coach, supervisors need to recognize strengths and weaknesses of employees and work with employees to identify opportunities and methods to maximize those strengths and improve weak areas.

b. Managing conflict

Supervisors are responsible for ensuring a positive work environment and effective teamwork, which often involves managing interpersonal dynamics and conflict. Supervisors need to allow and promote healthy conflict and prevent or resolve destructive conflict. Constructive conflict focuses on ideas, methods, facts and alternative ways of looking at a

particular issue or situation. Constructive conflict can result in increased creativity, innovative solutions, and better decision-making. Destructive conflict focuses on personality, communication and work style differences and competition for resources, recognition or rewards. Destructive conflict can result in unmotivated employees, loss of productivity, employee turnover and, in extreme situations, legal action.

c. Communication

Communication is a key competency for supervisors. They are responsible for communicating information up, down and across the organization hierarchy, as well as with parties external to the organization (volunteers, donors, clients, etc.). A strong competency in communication encompasses an ability to articulate messages clearly, to actively listen to others, and to develop appropriate responses. Depending on the specific job, there may be more or less importance placed on written versus verbal communication, but most supervisor positions require at least moderate writing skills.

d. Group leadership

In the course of carrying out their functions, supervisors are often in the position of leading team meetings and group work. Successful group leadership results in increased productivity and employee morale. Successful group leadership involves:

- ✓ Establishing goals and agendas
- ✓ Creating focus and purpose
- ✓ Minimizing distractions and interruptions
- ✓ Planning group activities
- ✓ Managing participation to ensure involvement of all team members
- ✓ Following through on action items

2.3.2 **Technical and process management competencies**

Examples of technical and process management competencies include:

- ✓ Functional knowledge
- ✓ Decision making
- ✓ Delegation
- ✓ Time management

e. Functional knowledge

Supervisors typically require a thorough knowledge of their function as well as the technical skills and capabilities needed to set goals and objectives, define work tasks and provide direction, guidance, and coaching to employees.

Supervisors usually have higher levels of functional knowledge than supervised employees. Some senior managers may have lower functional knowledge but greater process and people management expertise.

f. Decision making

Pretty much all supervisory functions involve making decisions. Some decisions are prescribed by a ministry's policies and procedures, in which case the supervisor's responsibility is to understand those policies and procedures and apply them appropriately.

Key HR Principal

The dual role of supervisory responsibilities and functional task responsibilities can be overwhelming unless the supervisor develops strong competencies in both delegation and time management, discussed below.

Many decisions are not prescribed and the supervisor needs to use his or her judgment on a course of action. While there are a number of decision-making models, most of the models have the following steps:

- ✓ Identify and clarify the problem
- ✓ Obtain all information needed to understand what is causing the problem
- ✓ Identify alternative courses of action and evaluate those courses of action against desired outcomes and possible risks
- ✓ Make a timely decision - avoid the trap of paralysis by analysis. Inherent to effective decision making is the willingness to take calculated (informed) risks as it is often impossible to know all the details and all possible outcomes within a reasonable time frame

g. Delegation

Delegation is key to surviving the demands of the dual role of most supervisors. Effective delegation also contributes to the growth and development of employees. While supervisors cannot delegate ultimate accountability for their functions, they can delegate prime responsibility for many of the activities within their functions.

For example, while the supervisor must take accountability for the work unit budget, the supervisor can assign one or more employees to conduct research and cost analysis and make recommendations on specific budget items.

Effective delegation involves:

- ✓ Assessing the knowledge and skills required to carry out an activity, evaluating the risk associated with the activity, and then deciding if it's appropriate to delegate the activity to a supervised employee

- ✓ Delegating responsibility and authority for an activity - the supervisor must give authority to the employee to carry out the tasks required to fulfill the delegated responsibility, and communicate that delegated authority to others, as required. For example, if the employee has to collect timesheet data to complete the assigned activity, other employees should receive communication from the supervisor that the employee has been given authority to ask for the timesheets
- ✓ Delegating both desirable and undesirable activities - the reality is that not all work is either interesting or challenging. Supervisors need to balance the type of work they delegate to any one person, ensuring that all employees (including themselves) have a balance of desirable (challenging, interesting) and not as desirable (routine, uninteresting) work
- ✓ Delegating for continuous team development - supervisors should look for activities to delegate at all times, not just when their own workload is overwhelming. Delegation contributes to the growth and development of individual employees, and the team as a whole (and also frees up the supervisor's time to take on challenging assignments delegated from his or her supervisor)
- ✓ Delegating and letting go - once an activity is delegated, the supervisor needs to provide guidance and advice as required, but allow the employee to determine how to accomplish the task and solve problems as they occur. Supervisors need to resist the temptation to micro-manage, even when the assignment is particularly challenging for the employee. Micro-managing takes up almost as much time as doing the task, and takes away the learning opportunity for the employee

h. Time management

Time management is an important competency for most people in business; if time is not managed effectively the dual supervisory role can result in fatigue and burnout, and impact the supervisor's ability to fulfill his or her job responsibilities. Time management involves:

- ✓ The ability to evaluate priorities and allocate work time accordingly
- ✓ Effectively delegating work activities and responsibilities
- ✓ Establishing consistent work habits that maximize time usage (i.e. a set amount of time each day spent on e-mail and voice messages)
- ✓ Scheduling meetings to leave time in the day for functional work

2.4 Transitioning into the supervisor role

Taking on a supervisory role is an exciting and challenging opportunity. While becoming a supervisor may be a desired and positive move, the transition into the role can be stressful. There are a number of factors that contribute to the stress of taking on a supervisory role:

- ✓ The change in the nature of the relationships with co-workers

- ✓ Additional time demands that can create stress during the workday may also conflict with personal demands
- ✓ Increased responsibility and decision-making
- ✓ New skills and knowledge required

When taking on a new supervisor role, there are a number of actions that can help reduce the stress.

2.4.1 **Re-establish relationships and build new relationships**

There is often a period of discomfort between new supervisors and their former co-workers, particularly when those co-workers become direct reports of the supervisor. Given that so much of our day is spent at work, it is inevitable that friendships develop and those friendships can be threatened when the nature of the work relationship changes. The truth is some friendships will withstand the change while others will revert to collegial relationships.

The challenge is to maintain positive relationships through the transition period and going forward. To maintain positive relationships with former coworkers and friends, the new supervisor should:

- ✓ Discuss the changing nature of the relationship with co-workers and friends to establish expectations around working behaviours and relationships going forward
- ✓ Be careful to avoid favouritism (or perceived favouritism) both in seeking input and in delegating work
- ✓ Examine motivation when providing positive or negative feedback. It is important to ensure that s/he maintains objectivity in performance feedback, and doesn't avoid conflict or provide unwarranted positive feedback due to concerns over friendship

2.4.2 **Establish work-life balance**

Time management is a key supervisory competency and has been discussed above. Establishing a balance between the time demands of work priorities and personal priorities (work-life balance) poses additional challenges. The new supervisor needs to take time to evaluate work and life priorities and determine the time and energy that s/he is prepared to commit to both (ideally, the new supervisor should go through this process prior to taking on the supervisory role).

It is important for new supervisors to establish expectations of themselves and expectations others have regarding work and personal commitments. They should discuss their commitment to work and personal life with those individuals that will be impacted by the change in priorities - including their supervisor and family members.

2.4.3 Acquire new skills and knowledge

Typically, individuals are promoted to positions in which their supervisor believes they are capable of performing well. There is normally an expectation that the newly promoted individual will have some abilities and experience required of the job and will require development in other areas of the job. A new supervisor should work with his or her supervisor to evaluate current knowledge, skills and abilities against those required in the position. He or she should then establish a development plan that includes formal and informal learning opportunities.

2.4.4 Find a mentor or coach

New supervisors can benefit greatly from a mentor or coach to act as a sounding board and support person. If your ministry does not have a formal coaching/mentoring program, seek out a mentor for yourself. Your mentor should be someone who:

- ✓ Has a greater level and breadth of experience than you
- ✓ Is someone you trust and respect
- ✓ Is comfortable giving honest feedback
- ✓ Is willing to spend a dedicated amount of time with you on a regular basis

2.4.5 Guidelines for promoting and managing supervisors

When making the decision to promote an individual into a supervisor position, senior management need to:

- ✓ Clearly articulate the scope of the job, identifying both the job requirements and the percentage of time the individual is expected to spend on functional/technical activities versus supervisory activities
- ✓ Assess the individual's current capabilities against the job requirements, and evaluate their potential to develop and grow into the position
- ✓ Ensure the individual understands the challenges and demands of a supervisor role and is willing to take on the added responsibility and time commitment
- ✓ Commit a dedicated amount of their time to providing coaching and guidance to supervisory staff. They should build in additional time for this activity when managing individuals new to the supervisor role
- ✓ Provide leadership by demonstrating exemplary supervisory competencies
- ✓ Ensure organizational tools are available to support supervisors in their supervisory functions (for example, planning, monitoring and reporting processes and tools; performance management policies and tools)

3. Risk Management in HR

Risks are inevitable and Government have a moral and legal obligation to attend to the safety and well-being of those they serve, their employees and others who come into contact with their operations.

Ministries need to look at all the risks throughout their entire operation and incorporate risk management into all planning and decision-making. However, the specific focus of this section is risk management as it applies to HR activities.

Key HR Principal

Involving staff, volunteers, and contract workers in the HR risk identification process will give you a comprehensive picture of the risks based on different people's involvement in different areas of the ministry.

3.1 Applying risk management to HR

When developing a risk management plan for HR activities, there are a number of areas to focus on. This general list will get you started but it is very important that all ministries identify and evaluate the risks specific and related to their own operational environment.

HR Activity	Potential Risk	Potential considerations
Payroll	<ul style="list-style-type: none"> Financial abuse 	<ul style="list-style-type: none"> Who has signing authority? How many signatures are required? Are there control checks and balances?
Appointment of staff	<ul style="list-style-type: none"> Discriminatory practices Hiring unsuitable or unsafe candidates "Wrongful" hiring 	<ul style="list-style-type: none"> Was a complete screening completed on potential applicants? Is there a set probationary period? Were promises made to the candidate that cannot be honoured? Did the employee sign off on the policies and contract of employment before being hired?
Occupational Health and Safety	<ul style="list-style-type: none"> Environmental Personal injury or death 	<ul style="list-style-type: none"> Do we provide safe working conditions and do we conduct safety checks regularly? Do we provide adequate training for staff? Do we ensure the use of appropriate clothing and safety equipment? Do we have adequate policies, procedures, and committee in place?
Employee supervision	<ul style="list-style-type: none"> Abuse Reputation in the community Release of personal information 	<ul style="list-style-type: none"> Do we provide sufficient orientation and training? Do we provide adequate supervision (especially for activities that occur off-site or after hours)? Do we have a performance management system in place?

		<ul style="list-style-type: none"> ▪ Are personal information protection guidelines followed?
Employee conduct	<ul style="list-style-type: none"> ▪ Abuse ▪ Reputation in the community 	<ul style="list-style-type: none"> ▪ Do we have clearly written job descriptions for all positions? ▪ Do we follow up when the parameters of the job description are not respected? ▪ Do we provide thorough orientation and training? ▪ Do we provide an employee handbook? ▪ Do we have comprehensive policies and procedures? ▪ Do we provide ongoing training about our policies and procedures? ▪ Do we retain written records of performance issues? ▪ Do we ensure that organizational valuables are secure? ▪ Do we have cash management procedures? ▪ Do we have adequate harassment policies and procedures?
Exiting employee	<ul style="list-style-type: none"> ▪ Property ▪ Reputation in the community ▪ Compensation 	<ul style="list-style-type: none"> ▪ Do we retrieve organizational information and equipment that a dismissed employee used (especially from home)? ▪ Do we ensure that all access codes, passwords, etc are de-activated? ▪ Do we conduct an exit interview? ▪ Do we record lieu time and vacation balances?

3.2 The HR risk management process

HR Risk management is a cycle. That means that it is not something that gets checked off a "to do" list but it is a continuous activity. Having a risk management process means that your ministry knows and understands the risks to which you are exposed. It also means that your ministry has deliberately evaluated the risks and has strategies in place to remove the risk altogether, reduce the likelihood of the risk happening or minimize harm in the event that something happens. Risk management focuses you on two fundamental questions:

- ✓ What can go wrong?
- ✓ What will we do to prevent the harm from occurring in the first place and in response to the harm or loss if it actually happens?

3.2.1 Identify the risks

- ✓ The very first step is to identify the risks. Ask yourself what can go wrong. Every activity of an organization poses a risk so brainstorm and document the risks.

- ✓ Consider both the general risks (that could happen to any organization) and the risks specific to your ministry.
- ✓ Risks can be: Abuse that is either one-time or ongoing (physical, emotional, psychosocial, sexual, financial)
- ✓ Personal injury
- ✓ Medical
- ✓ Environmental
- ✓ Property
- ✓ Financial
- ✓ Reputation/goodwill

3.2.2 Assess the risks

- ✓ If you have done a thorough job of identifying risks, you may end up with a long list.
- ✓ The next step is to assess each of the risks based on the (1) likelihood or frequency of the risk occurring and (2) the severity of the consequences.
- ✓ Using a risk map to plot the likelihood of occurrence and the severity of the consequences will help you prioritize your next steps.

3.2.3 Develop strategies for managing HR risks

Consider the most appropriate HR risk management strategies for each identified risk:

- ✓ **Avoidance** - Stop providing the service or doing the activity because it is too risky.
- ✓ **Acceptance** - Some risky activities are central to the mission of an organization and an organization will choose to accept the risks.
- ✓ **Modification** - Change the activity to reduce the likelihood of the risk occurring or reduce the severity of the consequences. Policies and procedures are an important part of this risk management strategy because they communicate expectations and define boundaries.
- ✓ **Transfer or sharing** - Transfer the risk to another ministry through signing a contractual agreement with other organizations to share the risk.

3.2.4 Implement

When you have decided which risk management strategies will be the most effective and affordable for your ministry, practically outline the steps and who is responsible for each step in the risk management plan.

Key HR Principal

It is a good practice to keep current and re-evaluate your ministry's HR risk management system on an annual basis.

Communicate the plan and ensure that there is buy-in from all who are involved in the ministry (staff, volunteers, clients, other relevant stakeholders).

Provide training for all ministerial staff and volunteers so they understand the rationale of the risk management plan as well as the expectations, procedures, forms, etc.

3.2.5 **Monitor**

Consider the following questions and document any changes to the plan:

- ✓ Is your plan working?
- ✓ Have your risks changed?
- ✓ Have you expanded or reduced your programs and services?
- ✓ Are changes or updates required?
- ✓ Are staff and volunteers following the risk management plan?
- ✓ Do they need re-training on the details?
- ✓ Do we need to better communicate the plan?

3.3 **Who is involved in the risk management process?**

HR risk management is an important task. There must be commitment from senior management to commit the financial and human resources. In ministries, a risk management committee, team or department may be formed to handle the HR risk management process. However, paid staff, volunteers - and potentially clients and other stakeholders - will be very helpful partners in identifying risks and developing effective strategies to deal with the risks. Once the risk management process is in place, everyone in the ministry has a role to play from identifying risks to following policies and procedures to completing forms and reports.

Human Resources for Health Toolkit

This toolkit helps you to get the most out of your investment in human resources for health. You need to plan and manage your human resources actively, ensuring optimal efficiency.

This toolkit shows you how.

People form the foundation of health care service delivery. Thus it makes financial sense to manage these valuable resources to ensure that:

- The right people with the right skills need to be available in the right number at the right place to do the right job
- Timely and accurate data on availability and distribution of health workers is accessible for informed decision making

The Modules

1. **HR Planning**
2. **HR Management & Risk Management**
3. **Recruitment & Retention**
4. **HR Performance Management**
5. **HR Discipline**
6. **Employment Termination**
7. **Diversity in the workplace**
8. **Effective HR Teams**
9. **HR Training & Development**
10. **HR Information System**

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