Training manual on management of human resources for health

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WORLD HEALTH ORGANIZATION
GENEVA
4.1 INTRODUCTION

Problems are the unintended and unsatisfactory situations - something going wrong, some deviation from the expected standard - which prevent the achievement of objectives. All who work in or for health services, however senior or junior, are very well aware of such problems. The objectives - a healthy community, prevention of illness, relief of suffering, proper support of those who care and care - are very worthwhile, but also very often difficult, complex and stressful, requiring carefully coordinated effort and resources which are often scarce. Consequently problems, things that go wrong or fail to go right, are always present, hindering the achievement of the desired objectives and standards of health care and its management.

Solving problems is therefore likely to be the most typical and continuing function of the health manager, whose first responsibility is to keep the organization working as well as possible. This type of management is sometimes described as "Maintenance" management because it tries to maintain the organization in continuous functioning. Other types of management are also relevant:

- good planning ("Adaptive" Management) can reduce or avoid future problems;

- good monitoring ("Evaluative" Management) can identify problems before they become severe;

- good coordination ("Integrative" Management) can secure the help of others in solving the problem.

Effective management is a combination of all of the above components. But it is the "Maintenance" manager, directly responsible for keeping services functioning, who has most need of skills in solving problems. This includes the ability to prevent problems arising if possible, and to alleviate them (to ease or reduce their consequences) if they cannot be adequately solved. (Different types of management are explained more fully in Section I, Part A - Managing Organizations.)

Of all the problems which health managers face, those involved in managing people are generally regarded as the most difficult to solve. This is probably due to a variety of factors including:

- health services are labour-intensive - they require a high proportion of people in relation to buildings and equipment, reflected in many countries by staff costs representing a major part of the recurrent health budget - so "people problems" are very likely to be numerous.

- within those staff are many different health professions whose members have been trained to use independent judgement and strive for excellence, sometimes leading to competition and conflict.

- human behaviour and personal relationships are often unpredictable and irrational, leading to additional kinds of problems that would not arise in the management of material things such as stores or records.
4.2 FRAMEWORK FOR PROBLEM-SOLVING

The eight steps that form a framework for problem solving are:

1. Defining the problem: what exactly is the problem?
2. Gathering the Information: what essential information do we require?
3. Defining the Objective: what precisely are we aiming to achieve?
4. Generating Alternative Solutions: how many different ways are there to solve the problem?
5. Judging the Alternatives: which is the best option for solving the problem?
6. Action Planning: how can this option be implemented and the solution be achieved?
7. Taking Action: implementing the solution
8. Evaluating the Outcomes: how far does the action solve the problem? What next?

This general approach to systematic problem-solving can be utilized by individuals or small groups of people. For each of the stages several questions are relevant, the responses to which will largely determine the quality of the problem-solving effort. It is seen here as a group process because a small group of people, working well together, are likely to produce a much wider range of alternative solutions to choose from than any one of them could do when working in isolation. Nevertheless, because of its logical and analytical approach, the framework remains valid for the individual problem-solver: it is not always possible to work on problems with other people, however desirable it is, especially at Stage 4 when the emphasis is on using imagination and exchanging ideas in order to generate a wide variety of solution options.

4.2.1 Stage 1  Defining the problem and  
Stage 2  Gathering the information

They are interdependent because the attempt to define the problem requires certain information which, by starting to clarify the essential nature of the problem, frequently shows what further, and more precise, information is needed.

Example: The belief that there is a problem of absenteeism amongst nurses in a hospital needs to be clarified by information about its frequency and extent amongst the different types of nursing staff in different parts of the hospital. Study of records may show, for instance, that the level of absenteeism is above 10% only amongst full-time nursing assistants on the medical wards, with a peak on Mondays. Without necessarily ignoring lower levels of absenteeism elsewhere, the initial problem should be redefined in those more precise terms - the level of absenteeism amongst full-time nursing assistants on the medical wards is unacceptably high (assuming that you regard more than 10% as unacceptable) and is above 15% on Mondays. This then suggests that further, more detailed, information should be obtained (for instance by interview) about this particular group of nursing assistants. Such close (and possibly time-consuming) further investigation would probably not be justified initially amongst the hospital's nursing staff generally if their overall absenteeism is significantly lower, for instance under 5%.
**Relevant questions:** To proceed through stages 1 and 2 it is necessary to ask, and attempt to answer, such questions about the assumed problem as:

a) What exactly is going wrong? Can any deviations from the required standard of performance or other unsatisfactory characteristics be identified?

b) Is this problem serious enough to justify a serious attempt to solve it? Why?

c) What particular incidents or situations make this a significant problem? Where and when do they occur and who is involved?

d) Is there any pattern in the unsatisfactory situations that may suggest particular underlying causes? (e.g. bad inter-personal relationships, a change in working procedures, professional incompetence etc.).

e) What essential further information is required? How can it be obtained and at what cost? (in time, in money, in goodwill etc; perfect information is unlikely to be attainable because of these costs).

f) Does that additional information significantly clarify or alter the understanding of the real problem? Is there anything else worth trying to discover about it?

g) Are the problem-solving group (this group would be composed of people who identified the problem and who would be directly involved in finding a solution and implementing it) now satisfied that the problem has been adequately defined in the light of the essential available information?

Unless this systematic process of reasoning is applied, using information to check and clarify initial assumptions about the problem until its real nature has been recognized and understood, it is likely that "the problem" will be described in a vague, imprecise way which confuses symptoms with causes, rumour with facts, allegations with realities.

### 4.2.2 Stage 3 Defining the objective

The natural end-point of Stages 1 and 2 is an attempt to define a worthwhile and realistic objective for the solution of the diagnosed problem.

In the case of a relatively precise and tangible problem involving a known deviation from a known standard, the objectives should also be quite clear, basically:

- to restore performance to the required standard
- to reduce the likelihood of the problem recurring

although even here the objectives are not specific enough until they have been extended to include a target for their achievement and any necessary constraints (such as financial limits).
Problem-Solving

Example: As an illustration for solving the problem of a declining immunization rate for children under five years old the objectives may need to be re-stated as:

- to raise the percentage of fully immunized under-fives in this district from the present x% to the acceptable standard of y%, before the end of next year, without increasing the field staff;
- to ensure that, after achieving this objective, the immunization rate does not again fall below y%.

However, in the case of more complex and open-ended problems (that is, problems with several aspects where the desired outcome or outcomes cannot be precisely quantified in advance) the objectives may have to be identified in a general and multiple form, possibly distinguishing short and long-term objectives; but should still be expressed as clearly as possible in the circumstances.

Example: In a problem of persistently poor performance in the medical records department, Stages 1 and 2 may have revealed several aspects (lost patient files, unsatisfactory storage arrangements, a time-consuming system for their issue and return, inadequately trained and supervised records staff and frequent complaints about the department from professional staff). The objectives of the problem-solving may therefore have to be expressed as

- within 3 months, and without additional expenditure, to achieve a significant improvement in the performance of the medical records department including:
  - adequate supervision of staff
  - greater efficiency in the issue and return of patient files
  - greater discipline amongst doctors and nurses in handling files securely;

such improvement to be reflected in a noticeable reduction of justified complaints about the department by professional staff.

- within 12 months, and with an increase of expenditure in that department for that year only of not more than 10%, to achieve permanent improvements in:
  - the storage arrangements for patient files
  - the recruitment and training of medical records staff;

such improvement to be reflected in the higher reputation of the department and the higher morale of its staff, as assessed by senior management.

It may be desirable to start a problem-solving process for each of the sub-objectives thus identified. This might help the various efforts to proceed alongside each other, possibly with more specific targets and criteria of success. But the overall direction and co-ordination of the total improvement effort must not suffer and the longer-term objectives should not be forgotten or ignored, otherwise the department’s work may deteriorate again after some time.
Relevant questions: To proceed through Stage 3 it is necessary to ask, and attempt to answer, such questions about the objectives of the problem-solving as:

a) What, as exactly as possible, is going to be achieved? What are the objectives of the problem-solving? (This may need to be considered in human as well as technical terms, for example higher motivation as well as higher productivity.)

b) Are these objectives worthwhile and realistic? Is it feasible to aim at the solution of the whole problem, or only some part of it? Are short-term and long-term targets distinguished where appropriate?

c) If and when the problem is solved, how will it be recognized? What criteria will judge an effective outcome to the problem-solving effort?

d) How will the information and opinions necessary to judge the success of the problem-solving be secured?

e) Do these objectives have the full commitment or staff to work for their achievement?

Notice that Stage 3 is not concerned with the methods by which the problem may best be solved (the how of problem-solving: that is the work of Stages 4, 5 and 6). Stage 3 is focussed entirely on the objectives to be achieved (the what of the problem-solving) and requires the group to use a sense of judgement and realism to identify the desired results to be aimed at in the problem-solving, with as much precision as possible. It calls for strong discipline in the group not to move ahead to the methods until these objectives have been defined.

4.2.3 Stage 4 Generating alternative solutions

Until this point, the problem-solving framework has encouraged logical, careful, analytical thinking of the kind sometimes described as convergent. This helps the group to move from general ideas of the problem to a more precise understanding of it by the reasoned application of selected information, so that the objectives are defined as exactly as possible.

Now what is needed is to produce many different ways of solving that defined problem by achieving that defined objective. This needs a very different kind of thinking which is wide-ranging, imaginative and sometimes described as divergent. It requires the group to go outside customary ways of thinking and working so as to look at the problem in non-routine, fresh, out-of-the-ordinary ways in search of possible solutions that no-one has necessarily thought of before. This is essential, particularly with difficult and complex open-ended problems (typical of health service management) which have no single correct answer, because if there were simple, easy-to-find solutions those problems would have been solved long ago.

Relevant question: Hence there is only one question for the group in this stage: How many different ways can you think of together for solving this problem?
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Brainstorming is one well-tested creative method for a group to produce an unusually wide range of ideas. Its rules are:

- participants are there to generate ideas, not (yet) to assess them. So there must be no judgement, criticism, or support for any ideas proposed.

- a time limit is set beforehand, someone is appointed to write on large paper what is called out, and as each page is filled it is helpful to stick it on the wall where it can continue to be seen.

- a moderator is useful to define the problem to start with, to stop everyone talking at once, to recapitulate the ideas during any lulls, and to stop any attempt to evaluate or defend the ideas.

- keep thinking until all ideas have been exhausted.

There are generally at least 20 or 30 ideas within 15 minutes and, although several will then be quickly excluded, those that remain - or better ideas that come from further consideration or from combining different suggestions - normally include several that would not have occurred to the same people working on their own. They come into existence from the interaction of ideas between people, which is why this stage depends so much on the existence of a group working well together.

But the discovery of alternative solution options can extend beyond the group in some circumstances. Depending on the nature of the problem it is often very useful to make written or telephone contact with experienced health managers, universities, medical and nursing schools, departments of community health and health management training centres.

Stage 4 should be completed by having developed, through the brainstorming, a large number of alternative ideas about how the problem could possibly be solved. This has involved an unusual, divergent and creative way of working, and such creativity is often blocked, in day-to-day work, because of:

- fear of making a mistake or being laughed at
- conforming to customary ways of thought and action
- working in isolation from the ideas of other people
- self-consciousness and timidity
- failure to use all of our own and each other's mental resources
- a working atmosphere which is intolerant of new ideas.

Consequently, this creative production of different ways of solving problems requires a friendly, open, constructive, participative atmosphere where all group members enjoy thinking of new options through the exchange of ideas.

But which of these ideas are worth serious consideration as solutions to the problem? Finding the best solution (or solutions) by choosing between alternative courses of action - the essence of decision-making - is the purpose of Stage 5. Convergent (analytical) and divergent (creative) kinds of thinking have been used. A third kind is now needed, sometimes called judicial (judging), in which the options are carefully assessed and a judgement made.
4.2.4 Stage 5 Judging the alternatives

Supposing that the problem initially identified was "poor leadership" in a district health service, which has now been more closely defined through information and discussion (Stages 1 and 2) into:

"the main problem is that the District Medical Officer has an autocratic style of leadership: he gives orders without consulting anybody, he changes his mind without informing anybody, he is unapproachable, and if staff complain they are transferred to unpopular posts, so morale is very low throughout the district"

with the objective for the problem-solving (Stage 3) identified as:

"to achieve a situation in the district within the next six months where the style of leadership has noticeably changed in the direction of thoughtful consultation before decisions are reached which are implemented firmly but consistently, to the point where the majority of staff work willingly and loyally".

Let us also suppose that the brainstorming method of generating alternative solutions (Stage 4) has produced a large variety of initial ideas. The task of Stage 5 starts by reducing these numerous options into a much smaller number which have sufficient merit to justify further work because they might include, or contribute to, the solution or solutions eventually chosen.

Relevant questions for this stage include:

a) Which of these ideas are worth taking further? Can any of them be quickly eliminated?

b) By what criteria should an effective solution idea be judged?

c) Which options best meet these criteria?

d) What are the implications of the best solution options? (including time, costs and likely impact on the organization).

e) Can a preferred solution or solutions be agreed upon?

The group may quickly agree to eliminate those items which cannot be taken very seriously, although they may well have been useful in the brainstorming by prompting other more realistic ideas; those items which are unethical; those items which repeat the same basic idea; or would take such a long time that they could not contribute much to the objective as stated. Notice any links between items which represent a similar general strategy (e.g.a strategy of discipline, of education, of conciliation, of confrontation) and discuss what contribution each of these general strategies could be expected to make to a solution. Assuming that the number of separate options has now been reduced from 40 to about 15, these should be assessed against the two principal criteria of an effective solution:

- its potential benefit (that is, how much would it help towards solving the problem if implemented?)

- its feasibility (that is, what are the chances of implementing it?)

This would probably reduce the number of options to approximately five.
Further discussion may well be needed about the advantages, disadvantages, prospects and constraints surrounding these 5 options, with the possibility of further highly specific information being sought, and some assumptions made about the position adopted by the group. However, the end-point of this stage should be the identification of the best available alternative solution(s) to the problem, with its implications fully explored and having the full commitment of the group.

4.2.5 Stage 6 Planning Action

Now that you have decided what the preferred solutions to the problem should be, the essential task of Stage 6 is to carefully plan how it should be implemented.

The approach to this task depends on the position the group is in. If it is the group’s problem, within the group’s authority to take action, or if the group has been given the task of finding and implementing the best solution, then the work at this stage will focus on how and when to do that.

On the other hand it may be someone else’s problem, or require someone else’s authorization, before action can take place, or perhaps the group’s task is to propose, but not implement, the best solution. In that case, work at this stage will focus on recommending persuasively exactly what the solution(s) should be (perhaps by summarizing the reasoning which led to your judgement in Stage 5) and how that solution could best be implemented.

The Management of Change

Implementing the solution to a problem will make things different and therefore involves managing change, whether simple or complex, a single change or a set of related changes. And planning how to take the actions that will achieve change is as important as identifying what that change should be. Health systems are full of unimplemented plans; carefully worked out and with desirable objectives and resources to remove major problems, yet often without effective planning of how the changes are actually to be managed, in human as well as in technical terms.

What can be stated now about the general nature of change as it relates to the implementation of solutions to problems in health management?

- that many forces, external (such as morbidity patterns and new medical technology) and internal (such as individual initiatives and the search for professional excellence in health care), make change desirable and probably inevitable. But change is unsettling; people (including ourselves) often tend to resist it, particularly if they have had no part in recognizing the need for it, in shaping it, and in influencing its introduction and timing. So the health manager must be sure that the changes introduced are worth the effort and adjustments involved.

- that, in most parts of the world, society as a whole (which includes us and our staff) now expects to be more fully consulted about the decisions that affect them. So the manager must earn the commitment of those affected by change through their involvement in achieving it successfully. This may require modification of leadership styles in the direction of greater participation by staff, especially if the change is expected to be difficult. Consistent, open involvement builds up trust: by contrast, mistrust takes much time and effort to dispel.

- that if change is to occur, people must not only understand the need for it, but also see its potential benefit and be sure that they will not be damaged by it.
that while managers must know the detailed reasons for the change, they must also realize that emotions are at least as important: it is not enough just to alter the rules. Thoughts, feelings, attitudes and habits that need changing must be brought to the surface and expressed openly, preferably in a group where other people’s questions and opinions can also emerge. Such open discussions can help the individual to change his attitude as he sees others changing theirs.

- that the timing of the change is, therefore, critical: whilst momentum for the change needs to be maintained there must be enough time and opportunity for people to express and modify their views in adjusting to the prospect of change.

**Analysing the Forces For and against Change**

In the light of what has been stated above about change, it would be unwise to assume that implementing solutions will always be simple and easy. Occasionally it will, but we need to identify in advance which forces (people, other resources, situations, trends etc.) are likely to help and drive forward the change, which are likely to hinder and restrain the change, and how far the prospects for successful change could be improved by strengthening the positive forces and weakening the negative forces.

**Example:** It has been decided already, as a matter of government policy, to introduce a new grade of Community Health Worker into the health system, to help solve the problem of shortage of appropriate human resources for planned developments in Primary Health Care. Recruitment and training have already begun, but the successful deployment of CHWs in a particular province represents an action to be planned with care, because of the likely reactions (some of them negative) which may accompany this change. The group responsible for such planning decides to list the positive and negative forces and produces the following:

<table>
<thead>
<tr>
<th>Positive Forces</th>
<th>Negative Forces</th>
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<tr>
<td>Government policy on CHWs</td>
<td>Opposition by private doctors</td>
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<tr>
<td>Inadequate present PHC staffing</td>
<td>Public suspicion of outsiders</td>
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<tr>
<td>Keenness of provincial medical officer</td>
<td>Insufficient transport for</td>
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<tr>
<td>Prospect of improving health service</td>
<td>their professional supervision</td>
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<tr>
<td>in rural areas</td>
<td>Nurses fear reduced status</td>
</tr>
<tr>
<td>High quality of initial trainees</td>
<td>CHWs concerned about housing</td>
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No doubt further investigation would be needed to clarify the reasons and likely strengths of both positive and negative forces, but the group’s action plan might well include:

- **strengthening** the impact of government policy on CHWs by making sure that this is thoroughly understood by village leaders and that the potential health benefits are stressed; and by using CHW trainees to demonstrate what they can do.

- **weakening** nurses’ fears of reduced status by meeting their staff association and clarifying the respective responsibilities of CHWs and professional nurses, and by ensuring improvement in vehicle repairs and fuel supply to facilitate professional supervision of CHWs.
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- *changing the direction* of one or more of the forces, for example by working systematically to educate the public away from suspicion of the CHWs towards a recognition of their value, perhaps using the press and radio or television, which may so far be a neutral force, in this process of public education.

Of course it is unlikely that all negative forces can be weakened or neutralized in this way. The opposition of private doctors (and possibly traditional healers) may have a particularly strong financial basis if their income is threatened by competent CHWs who gain the confidence of the people for health education, disease prevention and treatment of simple illnesses and injuries. But the essential message is that change can be managed by deliberately modifying the balance between the driving and restraining forces so that the planned action is successfully accomplished.

*Relevant questions* for this stage include:

a) What is the plan for successfully implementing (or recommending the implementation of) the chosen solution(s)?

b) Does the plan makes clear what has to be done, by whom, in what sequence and over what length of time?

c) Has enough time been allowed for all the people to be informed or consulted and to express their feelings?

d) What are the positive forces that could help the change? How can they be strengthened?

e) What are the negative forces that could hinder the change? How can they be weakened or altered?

f) Can the support of the people needed for successful implementation be obtained? These may include:

- someone who knows, i.e. has the necessary expertise
- someone who can, i.e. has the necessary power
- someone who cares, i.e. has the necessary commitment

g) Would it be wise to start this on a pilot basis? It is difficult for others to deny the chance to experiment, which will show whether the plan is sound or needs modifying.

h) Similarly, should a period of consolidation be included in the plan to allow the change to be fully absorbed by the organization? If this includes arrangements for review and adjustment known to all concerned, it might increase the confidence of staff in the change.

Thus, Stage 6 is one where the emphasis is on thoughtful planning and careful preparation for the action to be taken. In this process, it is possible that potential problems will be identified (i.e. problems that could arise in implementing the action plan and might be prevented or prepared for if they have been properly anticipated).
4.2.6 Stage 7 Taking the action

This is the stage to which all the previous analysis and preparation have pointed. It is the central purpose of the preceding steps, which are justified by the extent to which they have helped to shape the action to be taken and increase the likelihood of its effectiveness as a response to the problem facing the manager. Indeed it is in many ways the least difficult stage in the whole sequence, provided that all the previous stages have been carefully undertaken without omitting any steps. For example:

If Stage 1 is omitted there is no disciplined effort to define the real problem, providing no reliable starting-point for the problem-solving.

If Stage 2 is omitted there will not be an adequate base of information to understand the exact nature of the problem or guide the search for a solution.

If Stage 3 is omitted it will not be clear as to what the objective of the problem-solving is, and there will, therefore, be no basis for evaluating success or failure.

If Stage 4 is omitted it is probable that effort will focus on the first possible solution that comes to mind, without any alternatives being considered which might include a better solution.

If Stage 5 is omitted the problem-solving effort will be scattered in too many directions, instead of concentrating on the most beneficial and feasible solution.

If Stage 6 is omitted action to implement the best solution may fail because of lack of sufficient preparation to ensure success.

If Stage 7 is omitted the previous stages will have been wasted and the problem will presumably remain unsolved.

If Stage 8 is omitted there is no systematic evaluation of how far the problem has been solved, or review of what has been learned from the use of this framework.

From this it is evident that each stage of the problem-solving sequence is necessary to the stages that follow it. But this does not imply that the process always has to be a lengthy one. If an urgent management problem arises requiring a speedy solution, the sequence has to be completed in a relatively short span of time. However, the action will still be most effective if it is preceded by:

- gathering the essential information
- defining the objective
- generating alternative solutions
- judging the best solution
- planning the action

From all the evidence outlined above it is reasonable to claim that the problem-solving framework reflects the essential basic logic and sequence of professional and management activity. The implication is that the health manager, regardless of professional background, should feel considerable confidence about taking action if it is based on the stages outlined.
It therefore remains only to emphasize that the manager responsible for taking the action must be readily available throughout the actual change, in order to give decisions and support during the transitional period when difficulties and questions are inevitable.

4.2.7 Stage 8 Evaluating the outcomes

Evaluation may be defined briefly as:

The process of placing a value on the effects of some activity compared with its objectives, as a guide to future action.

It is a systematic way of learning from experience and using the lessons learned to improve current activities and promote better planning by careful selection of alternatives for future action.

The raw material of evaluation is information (including informed judgements) and this gathering of relevant and available information, as objectively as possible, enables the five basic questions to be answered as well as the particular local circumstances allow. These are:

1. What was intended?

2. What has actually happened?

3. What was its value?

4. What should happen next?

5. What can we learn from all this?

and these questions can be applied to the final Stage (8) of the problem-solving framework.

1. What was intended?

A clear objective, to act as the base-line for this evaluation, was established by answers, at Stage 3, to the following questions:

- What, as exactly as possible, are the objectives?
- Are these objectives worthwhile and realistic?
- How will it be recognized if and when the problem is solved?

Bearing in mind that Stage 3 - definition of the objective(s) - was the end-point of the diagnostic, information-based analysis of the problem, answers to these questions described the intentions that were thought worthwhile and realistic, and how their achievement would be recognized. These statements should be compared with answers to the next question.

2. What has actually happened?

Response to this question requires the gathering, as systematically as possible, of available evidence about the effects of the action taken (or recommended) in Stage 7 to solve the problem by achieving the objective(s). The central question is, naturally "How far has the problem been solved?"
In some cases this will be relatively easy to discover, particularly for those problems which represented a known deviation from a known standard, where problem solution is achieved simply by the restoration of performance to that standard. In many other cases, which typically face health managers, the problem solution cannot be expressed in such simple terms and the central question can secure a reasoned response only when decisions have been made on three intermediate questions:

- Who is in the best position to judge how far the problem has been solved? (This may include those most directly involved, or their representatives, because they have the best access to the evidence; but it may also include people less directly involved, who could be more neutral and objective in making judgements.)

- When should that judgement be made? (Some deep-rooted or complex problems require much time to pass before the extent of their solution can be judged; but some interim feedback on progress in that direction, perhaps with evidence of the factors helping and hindering that progress, will be needed. So evaluation may best be made in (at least) two steps, *Interim* and *Final*, seeking and judging the shorter-term and longer-term effects respectively. This is an important distinction because, even for the simpler problems, it will be necessary to know whether the solution is permanent.)

- How should the evidence be gathered? (Depending on circumstances, this may be, for example, routine statistical returns, special reports, response to questionnaires, answers to interview questions or discussion at meetings. The required depth of information, the ease of its collection, the cost of obtaining it and the urgency of its analysis will be amongst the criteria for decisions or recommendations.)

3. **What was its value?**

Just as the idea of "value" is at the heart of "evaluation", this judgement (of the worth of what has happened compared with what was intended) is central to the manager's concern.

At one extreme it may become clear that the diversion of time, efforts and money to the successful solution of a relatively minor problem was quite disproportionate to its importance, so that the benefit was not worth the cost in the widest sense, not merely financial. At the other extreme it may be apparent that the diversion of similar time, effort and money to solving a relatively major problem has been worth a great deal through the removal of a costly obstacle to proper working, so that the benefit, including perhaps financial savings by the reduction of wasteful inefficiency, has far exceeded the cost.

Full cost benefit or cost effectiveness analyses are not required for the great majority of problem-solving evaluations. Rather it is a matter of gathering the relevant and available evidence about the variety and scale of the action's effects, listing the costs (quantified where it is feasible to do so), and then, only after that analysis of information, weighing all this evidence in order to judge to what extent the expenditure of time, effort and money in this case has so far been:
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<tbody>
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<td>a. in the organization's current performance</td>
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<tr>
<td>b. in the development of the problem-solving ability of group members</td>
<td>0 1 2 3</td>
<td></td>
</tr>
<tr>
<td>c. in the organization's capacity for future problem-solving</td>
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This should be followed by a narrative report summarizing the supporting evidence.

4. What should happen next?

This feedback function of the evaluation of outcomes takes a number of forms. Feedback may show that:

i) Despite the efforts made in all the previous stages, the problem has not, or not yet, been completely solved. The incomplete extent of its solution may reflect its great difficulty, the lack of resources to deal with it adequately, the fact that insufficient time has passed to allow a total solution, or that the problem was insufficiently understood or inadequately defined.

ii) Or, feedback might consist of the following: the evidence gathered in the evaluation may point to any of the other stages of the framework and suggest corrective action. Therefore, there may be feedback from Stage 8, to:

Stage 2, if the information gathered about the problem was inadequate to define it properly.

Stage 3, if the problem was properly defined with the help of adequate information, but was not reflected in a soundly defined objective, worthwhile and feasible.

Stage 4, if the objective was well defined but too few alternative solutions were developed in the search for the best way forward.

Stage 5, if the alternatives were numerous and imaginative but the judgement of their benefit and feasibility failed to locate the most appropriate solution(s).

Stage 6, if an excellent solution was developed, but the action planning was insufficient to prepare adequately or analyze potential problems.

Stage 7, if the action planning was sound but the action itself lacked energy or was blocked.

The evaluation report, however simple, should clearly indicate any such implications for improving the work at one stage or another, so that corrective action can be undertaken to improve the prospects of solving the problem adequately.

There remains the possibility that the evaluation itself may be badly designed, conducted or presented, so that its findings are unreliable. The best safeguard against this is to identify the most suitable available person or team for this purpose, and if appropriate to set up a steering group to check the quality of the evaluation.
iii) Finally, there is the possibility that the complete or partial success of one problem-solving effort may open the way to starting work on another one, in the sense that the removal of one obstacle gives a clearer view of the next.

5. **What can we learn from all this?**

In the problem-solving framework we have a model of the logical sequence of necessary stages in the form of a *work* cycle completed by feedback based on evaluation. This model is also a picture of a *learning* cycle in the sense that managers learn from the results of their work, provided that feedback is actively sought and received. Deciding what to do to solve a problem or meet a need, doing it, identifying the results and learning from that how to do better, now and in the future, is the essence of managerial work and managerial learning.

Therefore, problem-solving is a learning process, and it is possible that the problem-solvers, individually and as a group, will have learned from their participation in the work and will continue to do so in their future problem-solving.

Additional reading in Annex 4.
PROBLEM-SOLVING

One very helpful approach to the logical use of information to define the problem precisely (i.e. Stages 1 and 2 explained in Section 4) is derived from the work of Kepner and Tregoe. It is particularly relevant when the problem is an obvious and tangible deviation from a known standard or norm.

The objective is equally clear - solving the problem will mean restoring performance to the acceptable standard, but in a way that reduces the risk of the problem arising again in the future. So we must find and deal with causes, not just the symptoms; and the starting-point is a precise description of the deviation, through the use of a systematic framework of questions, in particular those set out in Table 1.

Table 1: A Framework for Problem Analysis

<table>
<thead>
<tr>
<th>Who or what has the problem?</th>
<th>Who or what does not have the problem?</th>
<th>What is distinctive about the difference?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Where is the problem located?</td>
<td>Where is the problem not located?</td>
<td>What is distinctive about the difference?</td>
</tr>
<tr>
<td>When does the problem occur?</td>
<td>When does the problem not occur?</td>
<td>What is distinctive about the difference?</td>
</tr>
<tr>
<td>How big is the problem?</td>
<td>How small is the problem?</td>
<td>What is distinctive about the difference?</td>
</tr>
</tbody>
</table>

It is clear from this that the process of clarifying the nature and boundaries of the problem is attempted by isolating what is distinctive about the conditions (WHO or WHAT? WHERE? WHEN? HOW BIG?) that do apply to the deviation, compared to those that do not apply. Then, by examining these distinctive features, and where necessary by seeking further specifically relevant information, it becomes feasible to examine each of the possible courses in order to local the probable cause - the one that most completely explains all the distinctions that have been identified in the information.

An example can illustrate the process. The sudden illness (diarrhoea and vomiting) of 30 schoolchildren, in a class of 40 at a junior school of 180 pupils, is certainly a deviation from standard. Urgent initial investigation following the sequence of questioning in Table 1 established (WHO or WHAT?) that none of the other 150 children, nor any of the teachers, has been affected, at least so far; and that the entire class of 40 had been swimming under the supervision of one of the teachers, who travelled in her own car. The children's bus had mechanical trouble and they returned to school one hour late for their lunch. Under WHERE? it was clear that all 30 children were taken ill in their classroom just before going home and that no-one was taken ill anywhere else. As far as WHEN? is concerned, it was on a Wednesday afternoon two or three hours after lunch on a very windy day, and had never happened before. And under HOW BIG? it seemed that the outbreak was not spreading to anyone else.
On the basis of this initial information a number of possible causes could be tentatively offered, including chlorine poisoning from the swimming baths, some contagious medical condition, carbon monoxide from the defective bus, food poisoning from the delayed meal, or fumes from the school boiler house blown into the classroom by the strong wind. Although experience and intuition may favour any one of these possible causes, the necessary discipline of this analytical process requires that premature judgement should be avoided in favour of additional relevant information that might isolate one probable cause, discarding other possibilities. It was therefore established, by further simple enquiries, that the swimming baths supervisor could find nothing unusual about the water, that still no-one else had suffered the symptoms, that the bus company could trace no leak of carbon monoxide, that the classroom windows faced away from the wind that day, and that the 30 children had eaten the same school lunch as everyone else, although it had been reheated because of their late return. And what was distinctive between these 30 children and the other 10 from the same class who had also been swimming and returned late by the same delayed bus? These 10 did not eat the school lunch because they had brought their own food - a vital fact which eliminated many other possible explanations.

With this further information the presumption had to be that food poisoning was the most likely cause of the sudden illness of 30 schoolchildren, all other explanations being inconsistent with one or more of the pieces of information now gathered.

Of course the analysis had to continue further in order to identify the possible causes of the food poisoning, for example:

- new members of staff inadequately trained or supervised?
- some new procedure or unhygienic practice in the preparation or handling of food?
- a menu which included items with a high risk of deteriorating quickly?

any of which could have contributed to the outbreak as much as the reheating of the food itself.

We have to make this deeper level of investigation into the underlying cause or causes because, as good managers, we are concerned to prevent further problems arising, not just to deal with those which have already come to our attention.

The main purpose of presenting this systematic analytical method is to demonstrate that, for problems where there is a known deviation from a known standard of performance, this disciplined process of questioning can quickly and economically identify the likely cause and avoid hasty assumptions, reduce the waste of time and energy in pursuing unpromising lines of enquiry, and prevent the gathering of irrelevant information.

Additional Notes on Potential Problem Analysis

It is evident that great benefits would result if potential problems could be anticipated and the likelihood of their occurring could be removed or reduced. This requires thinking carefully about future possibilities but managers, constantly busy with their day to day problems, often spend less time than they should on thinking for the future. And they may in any case be reluctant to raise questions about plans which have already taken so much hard work to produce.
But it remains important to guard against future undesirable possibilities if we want to implement action plans successfully, which is the focus of Stage 6.

Potential Problem Analysis is the systematic processing of information leading to the prevention of, or protection from, anticipated difficulties and can be very useful in checking the adequacy of an action plan to cope with various things that could go wrong.

The Framework of Analysis

If a typical managerial task is selected as an example we can easily see the relevance of the series of questions which constitute the analysis.

You are an administrator in the health department of a large and overcrowded city, and have been given responsibility for opening a new primary health centre which the municipality has built and equipped in a slum. This is the third of five such centres and forms part of a plan to improve the health of the urban poor and reduce the overcrowding and misuse of the nearest hospital’s Out Patients Department, 3 kilometres away. All of the fixed equipment and some of the supplies and drugs are already in the new health centre, but other supplies and furniture have to be transported there from the hospital during the morning of opening day - one week from today. The health centre staff have been allocated from various parts of the city’s health service and have been told to start on that morning. The health committee chairman will conduct the opening ceremony in the afternoon of the same day, before inspecting the health centre with distinguished guests and the press. The chairman expects everything to be working properly by then.

You have a plan to manage the move and the opening, agreed with the young doctor who has been put in charge of the health centre, but you are worried that something might go wrong...

The analysis of potential problems can be undertaken through the following sequence of questions which offer a disciplined framework for checking and improving an action plan, for briefing colleagues and subordinate staff, or for making a report with recommendations to others if they have the responsibility.

a. What problems may occur?

In the situation outlined above the list could be very long, but examples would probably include:

1. the centre may not be working properly by the time of the opening ceremony: one morning is too short a period for everything to be done.

2. the staff may not all arrive punctually: health professionals are not always familiar with the slums of their own city and it might not be a welcome posting.

3. the transport removal from the hospital may take too long, particularly as the centre is 100 metres from the nearest road.

4. supplies and equipment may be lost, stolen or damaged before, during or after the move: you will be held responsible.
5. builders' materials and refuse may still be on the site of the centre.

6. you may well have too much to do on moving/opening day: your attention may be wanted by the Committee Chairman, the doctor in charge, the senior nurse, the press, the delivery driver and the building contractor (to tell you that the electricity supply has failed), all at the same time.

Remember that this is not the first such centre to be opened, so you must take advantage of the experience of those who were responsible for those previous openings to help make this list.

b. How serious would be the occurrence of these problems?

This is a matter of judgement, but the difference between number 5 (of little real consequence), and 2 (inconvenient but not disastrous) and number 1 (the failure to achieve the immediate objective) is evident. Each potential problem could be assessed as Low, Moderate or High to reflect the seriousness of the consequences if it occurred.

c. What could cause these problems?

Some potential problems may have a simple and obvious all-embracing cause, e.g. number 1 (preparatory time is clearly insufficient); some may have several specific possible causes, e.g. number 3 (vehicle breakdown, heavy traffic, paper-work delays, not enough men available). It is worth the time to speculate, with the help of your experience and imagination, about the possible causes of potential problems and make a list, because such causes will be the focus of your efforts to prevent the problem occurring or minimize their effect.

d. What is the probability of each cause occurring?

The likelihood of each of these events (that could cause the identified problem) actually happening can also be assessed as Low, Moderate or High to reflect the probability of its occurrence. For example in the case of number 3, depending on the local circumstances, the probability of vehicle breakdown might be assessed as low; heavy traffic and not enough men available as moderate; and paper-work delays as high. (All these terms are relative: even a "high" risk might signify no more than a 20% probability, but it is a matter of approximate judgement rather than accurate measurement.)

e. So what are the priorities for your attention amongst the possible causes of potential problems?

Logically most attention should be given to those problems which have causes with the highest probability of occurring and would have the most serious consequences if they did occur. In other words, the comparison of your Low, Moderate and High ratings in question b. with those in question d. provides you with a guide to where preventive action is most and least required. But do not ignore the lower or less serious risks altogether: if comparatively simple action (such as timing the vehicle delivery to avoid heavy traffic) can be taken to reduce a number of undesirable possibilities it will leave you less to worry about as you concentrate on the risks with the higher probabilities and more serious consequences. Some of these may not be completely preventable, whatever you do in advance, so they will require your full and concentrated attention at the time of the moving and opening, with the fewest possible distractions.
f. What preventive actions can be taken?

Amongst the many steps you might decide to take, in the light of your analysis through the framework of questions above, the following are only examples of what might reduce the risk of the problems occurring, or minimize their consequences if they do occur:

for number 1: bring forward as much as possible of the work, together with the attendance of key staff, to ensure that everything is functioning properly well before the opening, thus leaving the minimum remaining work to do on the final morning before the opening. (Note that successful preventive action here would reduce the risk in number 3, because the transport could be undertaken sooner; and in number 6, because you would have more time.)

for number 2: set up preliminary visiting by all the new staff, for welcome and briefing at the centre. This will familiarize them with the journey and their future work, which may in turn reduce any apprehension about the postings.

for number 3: have the transport vehicle(s) checked beforehand; arrange (and check that this has been done the previous day) for all the items to be collected by a specific date and time and secured in one accessible place at the hospital store; arrange for police assistance through heavy traffic; arrange for an adequate number of reliable men for the delivery, with others available on call; decide how best to carry the supplies and furniture from the road to the centre; know where to obtain hand trucks and waterproof containers if necessary.

for number 4: arrange for a high level of security guarding; devise a reliable system for checking and verifying the safe movement of items in transit; accept only those staff for this work whose honesty is not in doubt.

for number 5: insist on its removal under the terms of the building contract; check with the building contractor personally on the day before the opening; but remember that this is not a high priority so do not spend much time on it yourself.

for number 6: share with colleagues, and delegate to reliable subordinates, certain responsibilities for the moving and opening; ensure that they all understand what you expect of them; have a brief daily meeting to check progress, coordinate and answer questions; prepare press statements and notes for visitors beforehand; remember that they too will have to walk from the road to the centre, so provide umbrellas in case of need; rehearse the arrival and opening arrangements.

The Value of Potential Problem Analysis

The health manager who is prepared to work in this systematic way is far more likely to succeed, both personally and with his problem-solving, than one who ignores the practical difficulties of implementing solutions. The manager and his organization should gain the benefits of:

- a sound approach to support his confidence and commitment to the success of the plan;
- an opportunity to check the adequacy of his plan and, if necessary, to modify it;
Annex 4 - Problem-Solving

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- a visible list of potential difficulties and a record of what needs to be done to reduce such risks;

- a disciplined investigation into the critical areas of the plan, leading to a timely clarification of responsibilities;

- a short but comprehensive framework for any necessary report or recommendations;

- a basis for briefing his colleagues and delegating to his subordinates.

The process itself may take a few minutes or many days, depending on the scale and complexity of the action plan. The example used was selected to demonstrate the logical process in a realistic situation without excessive detail, and it is the underlying mental discipline which should be of lasting value.
Case studies

Case 1:  Dealing with conflict in a health centre nursing team

(This case problem represents the important Team Management element in HRM Leadership, where disputes and misunderstandings between individual health workers who need to work closely together often limit the team’s effectiveness. It is small in scale, involving a few named individuals, but is typical of many situations which need better HRM at the local level.)

The problem as originally stated (Stage 1) is the following: in a PHC centre 300 kilometres from the capital city of a major African country, many of the community’s older women have complained about the way they are being treated at the centre since the arrival of two young recently-qualified midwives.

The new midwives’ conduct has been criticized by the health visitor and defended by the senior midwife, so Mrs Joce, the centre’s team supervisor, calls a meeting to enquire into the whole matter. The following account of that meeting provides much of the necessary information (Stage 2).

The women who had made the complaints were not present but were represented by the health visitor (Mrs Lufex) to whom they had spoken at home. The midwives directly concerned were not present either. They were represented by the midwife-in-charge (Miss Ewars). No other staff were present.

Mrs Lufex spoke first and said that several women had complained that the new midwives were too young and too bossy. "They are young enough to be our daughters" said one woman. "They order us about as if we were their children" said another. "They take so long with each case that the clinic does not finish until after dark" said a third. "They take blood from us but refuse to give us injections as the old midwives did" was another woman’s complaint.

Miss Ewars responded by saying that in the last two months the number of women coming to antenatal clinics had doubled; partly as a result of a health education programme in the village but also partly because the new midwives were more popular with many of the poorer women. The increased numbers at the clinic had meant that some of the more educated women were being asked to wait longer to be seen and they did not like this. The new midwives were more conscientious in examining women antenatally, and this was one reason why the clinic was taking longer.

Miss Ewars said that they lacked experience and because of this she had taken responsibility for prescribing treatment herself; for example she had stopped the practice of giving injections of vitamin B since tablets were cheaper; and again, she no longer gave intramuscular iron because the old stock had been used up and the health centre team supervisor (Mrs Joce) had refused to order any more - for some reason she did not understand. She finally said that discipline of the midwives was her business and would Mrs Lufex please keep out of it.
PROBLEM SOLVING
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After stating any assumptions that you need to make, on the basis of your general knowledge and experience where the above information is insufficient, your task is to apply the problem-solving framework, stage by stage as far as you can in the time available and at least as far as Stage 6. This will therefore include:

(Stage 3) defining the objective in the light of your understanding of the real problem.

(Stage 4) generating alternative possible solutions to that problem.

(Stage 5) judging between these alternatives to find the best feasible solution(s).

(Stage 6) outlining your action plan for its implementation.

Then, if time allows and assuming that the action will take place at Stage 7,

proposing how the outcomes could be evaluated and the results used as feedback (Stage 8).

Case 2: Staffing health services in rural areas

(This case problem represents a vital element in HRM employment practice - the Deployment of Staff. It is large in scale and the problem is often experienced in countries where the health workers are not distributed in accordance with the health needs of the population, generally to the disadvantage of the rural areas.)

The problem as originally staged (Stage 1) was "it is difficult to persuade doctors to work in Nagapur State". This is a large and geographically remote state in an Asian country, with a scattered population of 25 million, 80% of them living in rural areas with poor accessibility by road and low social, economic and educational development. This particularly affects the State Government's medical service; on the one hand rural postings are unpopular because of below-average housing, lack of schools, communications and other social amenities, so that doctors are reluctant to work in these areas; on the other hand they often find themselves unable to work as they have been trained to, because they depend on good transport, supplies and staff support, all of which are uncertain.

Further enquiries (Stage 2) revealed additional information and opinion about the problem:

- for the state as a whole, 40% of the general duty medical officer and 50% of the specialist posts are currently vacant: this has been unchanged for several years and there is no upward trend in rural medical manpower.

- Government regulations do not compel their trained doctors to serve for a minimum period in rural areas as in some countries; and, although medical students depending on public funds are bonded to serve in Government posts for 3 years after registration, they often prefer to pay the financial penalty if an unattractive rural posting is proposed. If such a posting is accepted there is no guarantee when and where the next post will be allocated.

- the financial allowances for rural postings represent a 10% increase on basic salaries and private practice is not permitted to Government doctors.
only 10% of students at the medical college in the capital come from the rural areas of the State: the educational standards are difficult to meet by pupils from rural schools. Community health workers are beginning to be trained, but not medical assistants.

After stating any assumptions that you need to make, on the basis of your general knowledge and experience where the above information is insufficient, your task is to apply the problem-solving framework, stage by stage as far as you can in the time available and at least as far as Stage 6. This will therefore include:

(Stage 3) defining the objectives in the light of your understanding of the real problem

(Stage 4) generating alternative possible solutions to that problem

(Stage 5) judging between these alternatives to find the best feasible solutions(s)

(Stage 6) outlining your action plan for its implementation

Then, if time allows and assuming that the action will take place at Stage 7

proposing how the outcomes could be evaluated and the results used as feedback (Stage 8).

Case 3: Lack of opportunities for further training

(This case problem represents the HRM Staff Development element of Continuing Education, where the need for updating and development of health workers’ technical and managerial competence has not yet been adequately reflected in policies and funds for this aspect of Development of Human Resources.)

The problem as originally stated (Stage 1) is the great dissatisfaction that has been expressed by health professionals to the Minister of Health of a Latin American country, during his recent tour of provincial health services, about inadequate and unfairly distributed opportunities for continuing education. He has instructed the permanent secretary to set up a working party to consider the complaints, which have now been made in the form of written representations from the country’s health-related professional associations, together with reports from the various provincial Chief Medical Officers.

These documents provide further information about the problem (Stage 2). Amongst the main points:

- the doctors claim that the budget for postgraduate training abroad has been halved since the International Monetary Fund agreement led to severe public expenditure cuts in the country; and that their applications for clinical specialty training of their own choice are being rejected or altered because of the policy favouring Primary Health Care.

- the nurses comment that there is not even a formal budget at all for their special training needs, without which they cannot respond to demands for advanced nursing skills in intensive care units, renal units, cardio-thoracic units and so on.
PROBLEM SOLVING
Case studies - page 4

- other technical staff say the same thing and point to the fact that the knowledge needed to keep pace with high technology, including computerization, can only be obtained through training in Norther America and Europe.

- administrators and heads of departments - including a few medical superintendents, senior nursing and technical staff - argue that their training needs are now more managerial than technical, yet the only health administration training unit in the country belongs to the Social Security Institute, which operates some good hospitals and has more resources than the Ministry.

- no-one thought to ask whether the support staff (stores, records, clerical, manual, etc) have unmet training needs.

- some of the provincial CMOs said that the biggest training needs are amongst the community health workers, especially because of their low level of general education and the short duration of their basic training.

- other CMOs added that they have no way of assessing which of the staff have major training needs or how they can best be met.

- several people from all these sources claimed that there is little apparent relationship between the training approved by the Ministry and the same Ministry's published plans for the country's health development.

After stating any assumptions that you need to make, on the basis of your general knowledge and experience where the above information is insufficient, your task is to apply the problem-solving framework, stage by stage as far as you can in the time available and at least as far as Stage 6. This will therefore include:

(Stage 3) defining the objectives in the light of your understanding of the real problem

(Stage 4) generating alternative possible solutions to that problem

(Stage 5) judging between these alternatives to find the best feasible solutions(s)

(Stage 6) outlining your action plan for its implementation

Then, if time allows and assuming that the action will take place at Stage 7

proposing how the outcomes could be evaluated and the results used as feedback (Stage 8).

Case 4: Rehabilitating a hospital's morale

(This case problem involved the Management/Staff relations in an advanced form, because the morale of the entire staff of the organization is affected. The situation described is particularly severe, but some at least of the problems are recognizable in the difficulties currently experienced throughout the world in managing large hospitals, in social as well as technical and financial terms.)
The problem as originally stated (Stage 1) is the "very low morale of staff in this teaching hospital/medical school of 1000 beds". The symptoms are given as:

- gross absenteeism by many of the professional and support staff in order to undertake a second job or some farming to supplement very low government incomes.
- poor standards of care in some cases, linked with reluctance by responsible staff to take firm disciplinary action for fear of reprisals, or reversal of their decision by high authority.
- patients sometimes have to pay money to staff for services that are intended to be free.
- personal insecurity, affecting particularly the willingness of night duty staff to come to the hospital without escort.
- many staff have narrowed their professional and management activity in order to avoid taking initiatives which might make them conspicuous or attract hostile reactions.

There is much in the recent history of the hospital (Stage 2) which would help to explain the present situation - constant political and military turbulence in the country for the past 15 years, including the looting of the hospital; the departure of many of the leading health professionals and teachers; the partial breakdown of many administrative systems including those which supported public health services; and very high inflation.

Yet, in spite of the turmoil and uncertainty, there are examples of personal integrity, professional leadership and administrative improvisation which are reflected in the survival and slow improvement of standards in isolated parts of the hospital. There is some help from international aid agencies, the political and military situation has stabilized recently, some supplies are beginning to flow more freely and equipment is slowly being repaired.

So people are asking how to restore the motivation, discipline and standards of morale amongst the hospital's staff as a whole, not just the few isolated individuals and departments.

After stating any assumptions that you need to make, on the basis of your general knowledge and experience where the above information is insufficient, your task is to apply the problem-solving framework, by as far as you can in the time available and at least as far as Stage 6. This will therefore include:

(Stage 3) defining the objectives in the light of your understanding of the real problem

(Stage 4) generating alternative possible solutions to that problem

(Stage 5) judging between these alternatives to find the best feasible solutions(s)

(Stage 6) outlining your action plan for its implementation

Then, if time allows and assuming that the action will take place at Stage 7

proposing how the outcomes could be evaluated and the results used as feedback (Stage 8).
5.1 INTRODUCTION

Since staff are the principal resource by which a health organization functions, the greatest care and efficiency must be used in the process of recruiting people for employment.

Health systems are labour-intensive and care must be taken not to employ more staff than are needed or can be afforded. Too often, health services do not have the necessary operational budget which results in a situation of a fully staffed service and no funds to run the service.

Responding to these two realities, this section is concerned with the systems and procedures by which necessary and affordable staff are recruited, selected, inducted and deployed for defined work in the organization.

It deals with the following activities:

- setting and controlling staff establishments using staffing norms or other methods;
- job analysis and descriptions;
- selecting and recruiting staff;
- induction of new staff;
- deployment of staff.

In a number of countries the selection of staff, at least for senior and professional staff, is performed not by those who are responsible for directly managing them, but by other bodies, such as a Public Service Commission or Ministry of Health. This raises the possibility that some of the human resources managers who might use this section would have no opportunity to use the abilities it aims to develop.

The section may still be useful to such managers because, for example:

- interviewing practice is valuable for many other purposes;
- they may have recruitment responsibilities for lower level staff;
- they may have greater opportunities in the future, through delegation to them or promotion to a more senior post;
- it provides understanding and practice for being interviewed themselves.
5.2 SETTING AND CONTROLLING ESTABLISHMENTS

For our purposes, establishment control is the process which aims to regulate either the numbers of staff employed, or the cost of such staff, or both, to undertake a defined area of work.

A better understanding and control of the present labour force will permit reasonable extrapolation into the future. Forecasting the future demand for staff will require that we examine:

i) Whether the present service is staffed appropriately: is there currently the right number and mix of staff?

ii) Changing technology: not only does medical technology change, for example the use of computers in pathology laboratories or the ability to undertake heart transplants, but so do other technologies; for example the increased use of computers to improve the provision of information. Such changes can only be forecast in general terms, although there are increasingly sophisticated processes that can be used to "foretell or predict" the future.

iii) Changing demands of the population for health care: as societies become more developed, people begin to demand more of the health care system.

iv) Improved managerial practices: as the knowledge and skills of managers develop, they may be able to organize health staff more effectively and produce the same or even a better health service with fewer staff.

The distinction between staff establishment setting and human resource planning is blurred: the former is done in relatively small organizations that can draw on a pool of potential candidates already available on the market; human resource planning takes place at the macro level, e.g., in a ministry of health, especially when provision needs to be made for training new staff.

Establishment can be controlled in terms of either crude staff numbers or an overall limit that can be spent on the staff resource (in other words a budget for staff costs which should not be exceeded).

Whichever method is chosen depends on current policies, some of which may be nationally promulgated. For example, governments may say that they wish to reduce the number of people employed in the "service" sector of the economy so that more effort can be devoted to the "productive" sector. Such a policy would imply the application of establishment control policies based on crude numbers.

Generally, where managers have been trained in the use of resources, a policy based on budgets is preferable. Such a policy can then be used flexibly by managers to employ the numbers and types of staff which they believe will allow them to do the necessary work as effectively as possible. Another advantage of such a policy is its inherent consistency with other "control" policies which are normally expressed in financial or budgetary terms.

It may be, though, that managerial systems, and the managers themselves, are not sufficiently well developed to exercise such discretion to the full so that the system begins by concentrating on the control of staff numbers. In other words a personnel budget is created which expresses the limits and any agreed changes within that for the number and types of staff employed in the health service.
5.3 STAFFING NORMS

Most norms make explicit or implicit assumptions about the number of hours staff will work, the amount of leave they will take (both in sickness and holidays), and the pattern of care which will be delivered. Workload-based norms will make assumptions about the quality of the environment, the materials with which staff will be working, and the possible productivity of equipment involved. For nurses, mechanisms to determine staffing requirements may be based on assessments of nurse/patient dependency and consequent workload. More generally, particular groups of staff will be deemed to have a particular role to play in the delivery of health care.

**Types of Norm**

i) **The "ideal service" norm:** the staffing patterns envisaged in this type of indicator cannot be achieved for many years and no realistic target date can be set. The obstacles may be shortage of the staff group concerned, low relative priority or simply a shift of emphasis from one type of care to another involving so great a transfer of resources that it cannot be achieved for a prolonged period. When norms fall into this category, planners will need to consider what intermediate targets should be aimed for by known dates, so that the human resources structure evolves smoothly and types of staff appropriate to the eventual pattern are not recruited in advance of the pace of service development.

ii) **The "policy" norm:** staffing levels are set at a particular level - or at x% above the present level - because agreed policy is to develop services within that area. These norms will usually have a target date, and progress towards them should be monitored. The origin of the numbers in such norms usually derives from a combination of surveys of good practice at the time the norm was originated, together with expert opinion on the desirable staffing levels and staff-to-workload ratios of a future and improved pattern of service.

iii) **The "minimum standard":** this type of norm sets one parameter for staffing in conditions whose nature will not change rapidly: it is not directly comparable with "ideal service" norms which generally represent the result of radical changes in the method of delivery of service. Even where the physical environment remains the same, such standards will not remain applicable where there have been significant changes or developments in the services concerned.

iv) **The "good practice" norm:** it is important to relate norms based on good current practice to their date of origin. A norm may be good practice now, but will it be equally relevant in the future? Especially where such norms derive from national or regional average staff-to-population or staff-to-bed ratios, managers will need to build in an element for future improvement in the average staffing levels (upwards or downwards) if they use the norm as the basis for future planning. Use of this type of norm may also lead to staffing structures which bear little relation to service need or efficiency. Services can be provided at similar levels using different manpower mixes, and it may be inappropriate to plan to increase staffing in one group towards or above the national average if the number and contribution of other staff differs from the national pattern also.

v) **The "if-then" norm:** this type of norm is closely related to the good practice norm, but is usually built up by a more objective assessment of staffing requirements in relation to service provided and tends to be more complex. Many such norms are derived from management services studies. They are based on this type of calculation: if the workload is x and staff can handle y processes per day, then there should be z staff.
Limits to the use of Norms

In a service as complex as a health system it is unwise to take any specific staffing norm and apply it throughout. Norms should be used as guidance for establishment control only when the derivation of the norm itself is fully understood. The following factors may significantly affect the relevance of any norm:

i) The type of population served by the health system. Is it, for example, predominantly old, rural, well educated, etc.?

ii) The type of buildings in which the service is provided. Are they new, scattered, modified from some other purpose, etc.?

iii) The numbers and type of support staff available.

iv) The source of the norm. Has it been adequately researched, or developed by a professional organization aimed at its own growth?

Having cautioned against slavishly following norms, they can, when used appropriately, raise relevant questions about staff establishment levels.

Norms do not provide complete answers; they should help the manager in asking questions about health personnel levels. Major deviations from a norm should be questioned to determine how valid the explanations are.

5.4 SOURCES FOR SETTING ESTABLISHMENTS

If there are no available norms, the manager must use other ways to maintain the establishment control, and particularly to get a baseline for it. A manager may get a baseline for a particular establishment from any number of sources. Here are a few:

i) Inheritance

This is probably the most common source of a manager's establishment. In essence, the manager is told that the establishment is either so many staff or the limit is so much money which can be used to buy whatever staff she or he can get. Sometimes there is a tolerance to these limits expressed in terms of plus or minus a certain percentage. The advantage of this approach is its simplicity, but its disadvantages are that it is not based on any logic and does not take account of changes in practice or organization.

ii) Inheritance and Planned Change

This approach to establishment level allows the manager to keep what there already is (in either crude numbers or costs) but expects him or her to change the inherited level in the light of a particular policy initiative or organizational plan. The advantages of this approach again lie in its simplicity, and its logical base could be sounder than the first approach, providing the policies or plans are well founded. Its disadvantages arise when these are not well founded and managers are unconvinced about the necessity or wisdom of the changes.
iii) Work Study

The work study approach starts by analyzing what work has to be performed and then calculates how many staff are necessary to perform it to a given standard in that particular environment. This approach has many advantages, particularly if the study is well performed. It has a logical base which has been methodically applied to a unique set of circumstances. Its major disadvantage is the long time it takes to do such studies, together with their costs. Because of this disadvantage, the next approach is often used to set establishments.

iv) The Application of Formulas

The application of formulas is very close to the process of setting establishments by reference to some "norm". Formulas, however, tend to be more rigorously researched and tested and on the face of it would appear to have more validity. The "formulas" approach is often used in setting nursing establishments after careful studies of, for example, patient dependency. The advantage of this approach is that it is normally well tested objectively. Its disadvantage is similar to that of most "norms". It does not have the commitment of many managers who can generally find reasons why it should not apply to them.

5.5 STAFF SELECTION

Every time you select someone to join the health team, you are investing potentially a great deal of money. It is important, therefore, that the recruitment process is done as thoroughly and as methodically as possible. After all, you would spend a great deal of time in considering what piece of machinery to buy. You would want to make sure that it was really required, that the purpose to which it was going to be put was clear, that there were explicit criteria you could use to choose between different makes of machine, and that once you had purchased it, it was installed properly. The same applies to selecting people, except that the process is more difficult.

The following are the main stages in the selection process:

- analysing the need for the job
- describing the job
- drawing up the person specification
- assessing the candidates
- the selection interview.

5.5.1 Job Analysis

There are three main reasons why a job analysis should be done when someone leaves a post.

i) Is the job necessary? It is too often assumed that when someone leaves a job, it should automatically be filled. By doing a thorough job analysis, this assumption can be checked.

ii) Should the job be changed? Organizations are dynamic; they change as the tasks required of them change. The contents of jobs will also change over time; this will be demonstrated through job analysis.
Staff Establishment and Recruitment

iii) Preparation for the selection interview. When a good job analysis has been done, the major tasks of the job are identified. In fulfilling these tasks the job holder will experience all sorts of problems. These may range from having to move heavy weights, to deciding on what the next major corporate objectives should be. By identifying these problems, and listening to how successful job holders cope with them, you can start formulating the range of questions you may wish to ask of candidates for the job. You could then "measure" their answers to your questions against those given by the successful job holder.

Who should do it?

Ideally two people should do the job analysis. The first and perhaps most important is the manager of the job; the second could be a professional who can ensure objectivity in the approach.

Who should be seen?

The present job holder should be seen before leaving the organization. If others are doing similar jobs, they could also be seen with advantage.

When should job analysis be done?

It should always be done before a post is filled. During any reorganization, job analysis will be an ongoing process as the demands of the tasks are tested out in terms of staff requirements.

How should job analysis be done?

The process of a job analysis is normally based on a discussion between the people concerned. Obviously such a discussion could be seen as threatening if the job holder is not intending to leave and so it should be undertaken with care and sensitivity. Even to staff who are leaving, it could be very disappointing if they believe you think that what they have been doing is no longer required.

What is the structure of a job analysis discussion/interview?

There is no one unique way of undertaking a job analysis. The note below suggests a hierarchy of questions which should provide a comprehensive approach for the structure.

You are trying to answer three questions in a job analysis:

1) Should the job exist in its present form?

2) If it should, what is the main purpose? (This will enable you to draw up the job description.)

3) What key problems does the job holder have to cope with? (This will enable you to formulate some questions for the selection interview with answers provided by the current job holder.)
5.5.2 Job Description

The purpose of a job description is to set out the purpose of the job, and its associated tasks described in terms of what "outputs" are required of the job, and to what standard (wherever possible). It will also describe relationships with other jobs in the same section or department, grade, etc. A typical format is given below:

**Job Description Format**

- Name of Organization
- Name of Division/Section
- Job Title
- Purpose of Job
- Accountable to whom?
- Responsible for what?
- Other relationships (an organization chart could be displayed here)
- Grade of Job
- Main tasks of the job and standards to be achieved
- Limits of discretion (e.g. budgetary responsibilities)
- Special provision (e.g. confidentiality; necessary qualifications)
- Terms and Conditions (e.g. salary, hours of work, holidays, etc.).

5.5.3 Person Specifications

The purpose of the person specification is to draw out from the job analysis and the job description, the sort of person the job demands. It provides a yardstick against which you can make decisions about the various candidates that have applied, and ultimately your choice about the most suitable one.

Person specification may include physical aptitudes, educational and work attainments, special aptitudes, interests, attitudes (disposition), social circumstances, etc.

5.5.4 Assessing Candidates

When you are selecting from a number of candidates for a job it is often quite difficult to choose between them. They will all have different mixtures of attributes making it quite a complex decision-making process to choose the "right" one.
This process is further complicated if a number of people are involved in the selection process. They will all have distinct views about the candidates. You can systematize the assessment of candidates. It does not avoid the necessity for subjective judgements. These will always be present in selecting someone for a job. What it does do is to help you organize these judgements in a methodical way.

The basics of the method for assessing candidates are as follows:

- First, identify the necessary knowledge, skills and attitudes that a candidate must have to perform the job successfully.
- Secondly, your view of every candidate is tested against every other candidate for each one of the necessary attributes. The results of this testing process, which can be done by the individual selector alone, or with others when there is a group selection process, create a score for each candidate.
- Thirdly, this score can be weighted so that not all attributes are considered as having the same degree of importance.

5.5.5 The Use of Application Forms

There is often discussion about whether an application form should be used, or whether applicants should send a personal description (curriculum vitae: c.v.) of themselves. For most jobs, an application form is desirable for reasons set out below.

For the most senior jobs, a c.v. may be more appropriate. From the way a c.v. is presented, deductions can be made about how well the applicant has diagnosed what the organization wants, and how well he or she "sells" himself/herself in terms of these requirements. The c.v. will also show how well the applicant can express himself/herself and present a picture that is attractive to the potential employer.

The main reasons for using an application form are as follows:

- To obtain preliminary essential information for screening and ranking candidates.
- To help in preparing the interview.
- As a source of information for personnel records.
- To present a good image and encourage the candidate to apply.

To a certain extent these reasons may conflict with each other. For instance, if all the information normally required for personnel records purposes were asked for on the application form, then people might be disinclined to fill in such a long and detailed form.

5.5.6 The Selection Interview

Ideally a selection interview should involve only the candidate and two or three people from the organization to do the selection.

Good management practice would suggest that the immediate superior of the post to be filled should be involved, accompanied by a personnel specialist who can guide the manager in ensuring that all areas that should be covered in the interview are covered. He will also be the expert on the terms and conditions of service that govern the post.
For some posts it may be essential to have a much larger group doing the interviewing. For example, in some countries the membership of appointment committees for the most senior clinical medical posts is large, and laid down by law.

Therefore, the first decision to be taken in the light of the law, good management practice and perhaps custom, is to decide who will undertake the selection interview.

5.6 INDUCTION

Once a person has been selected, a manager will want to make sure that he/she is able to become "productive" as soon as possible, and that he/she will want to stay with your organization.

After being selected for the job, a new employee will expect to receive some formal indication or confirmation of the appointment. Your first letter can make the newcomer look forward to joining you or alternatively make him or her anxious and concerned. Think, therefore, about the tone and content of this letter. Does it, for example:

- say you are looking forward to his or her arrival;
- explain where he or she should report, at what time, and to whom;
- set out the arrangements for the reimbursement of any interview costs;
- describe the context of the job in terms of any recent developments not explained at the interview;
- set out pay arrangements and other conditions of service in a clear way;
- describe working relationships, particularly in terms of those staff with whom the new recruit is likely to come into early contact;
- invite him/her to contact you or someone else before starting work;
- provide relevant information about housing, education, etc;

Also, of course, you need to prepare other staff for the arrival of the newcomer. Have you, for example:

- arranged for other staff to know about the new arrival and what he or she will be doing;
- organized any necessary uniforms, facilities, etc., that will be needed (e.g. desk and telephone);
- ensured that key individuals can have a short time with him or her on arrival?

Has someone been briefed to:

- meet the newcomer
- explain rules and standards of conduct;
- show him or her the buildings, facilities, departments, etc.;
- introduce the new person to other staff;
- explain how the job fits in with others;
- describe the organization as a whole and what it is trying to achieve;
- confirm that he or she knows about pay arrangements;
- be available to help and support him or her in the first few days?

After the new employee has been with you for a week or so it is a good idea to have a brief discussion with him or her to check that all the arrangements are working smoothly and to discover whether there are any problems that need to be dealt with.
5.7 DEPLOYMENT

Even if health systems and organizations were able to determine and control their staff establishments well, and if recruitment and selection procedures were effective in bringing the best available staff into their employment, there would still be problems of deploying them, that is to say having them work well and willingly where they are needed.

One of the most intractable problems in HRM is undoubtedly the proper health staffing of some of the rural, more remote or otherwise unpopular areas of a country or region, quite often because it is seen to be (and may in fact be) socially and professionally as well as geographically isolated. Amongst the various obligations or incentives which have been advocated or used in the attempt to solve this problem there are some broad strategic options, including:

Legal, e.g., a compulsory requirement for all health professionals to serve for a certain number of years in a less popular area; financial penalties for failure to do so; all health workers are posted (allocated) by the central Ministry without consideration of family or personal circumstances.

Professional, e.g., post-qualification training opportunities depend on a minimum number of years' work in a less popular posting; linking such a post with a more attractive one with which it rotates after a fixed period; special recognition for such work as an advantage for promotion; exemption from military service by doing such work for a similar period.

Economic/social, e.g., double or treble pay for working in less popular posts; provision of a car; special allowances for accommodation, children’s education, extra travelling; enhanced pension; provision of a specially high standard of residence with the post.

Educational, e.g., changing the professional curricula to prepare health workers to function well in remote areas with low rather than high technology; special educational events to bring such staff together for sharing experience and training; depend more on newer types of specially trained health workers such as medical assistants, village health workers, mobile visiting specialists with special training; strong link with university department of community health; recruit trainees from the areas to be served so that they are more likely to return and work there.

These are, of course, only examples of different ways of assisting the process of successfully deploying staff to work willingly and well where they are most needed.

Additional reading in Annex 5.
1. JOB ANALYSIS - THE HIERARCHY OF QUESTIONS

1.1 Questions to do with job purpose:

What is the main purpose of the job?

Does this purpose fit with organizational requirements?

Can the purpose of the job be shared amongst other jobs?

Should the job be altered in any way to achieve a "better fit" with organizational requirements?

1.2 Questions to do with job tasks:

What are the main tasks related to the agreed purpose?

Are all these tasks essential for the achievement of the job purpose?

In what way can tasks be grouped? (e.g. planning, monitoring, advising, etc.)

What standards are currently required in the performance of these tasks?

Can these standards be altered to attract "less expensive" employees, or more qualified employees?

1.3 Questions to do with job context:

With what other jobs does this one have to relate?

What is the purpose of the relationship? (e.g. boss/subordinate, coordinating, etc.).

Do these relationships need changing?

Is the current grade of the job appropriate?
1.4 Questions to do with the demands of the job:

i) **Intellectual**

What sort of problems does the job-holder need to solve to meet the required performance standards?

What sort of interpersonal problems may the jobholder have to deal with in the execution of the job?

On what sort of issues does the job demand that initiatives be taken?

How important in terms of effects on the organization are the decisions that the jobholder has to take?

Note that answers to these questions will allow you to identify the experiences, knowledge, aptitudes and skills that the job holder will require. From this information you can begin formulating questions to put to candidates for the job, testing their answers against what you know the job demands.

ii) **Physical**

What physical characteristics does the job demand? (e.g. good eyesight, strength, manipulative dexterity, etc.)

iii) **Environmental**

Does the job require working unsocial hours?

Does the job demand travel?

Does the job demand a high level of trust? (e.g. dealing with case notes or patients’ records)

All these questions need to be answered because from the answers you will very soon begin to discuss what sort of person you are looking for. The answers will also lead you immediately into the next stage of drawing up the job description.

2. **PERSON SPECIFICATION**

The purpose of person specification is to draw out from the job analysis and the job description, the sort of person the job demands. It provides a yardstick against which you can make decisions to rank the applicant, and ultimately your choice about the most suitable candidate.

**Person Specification Format**

The format below asks you to distinguish between those features that are desirable and those that are essential for the job. In this way you can attach crude weights to each feature. Some of the features may have no relevance (N/R) to the job at all; in this case ignore them.
PERSON SPECIFICATION

ATTAINMENTS

General education level, e.g. number of years and level of schooling: college, university, etc. Languages or specially important subjects.

Specific training, e.g. trade apprenticeship, special or commercial courses, professional qualifications.

Relevant experience, e.g. type of work, length and level of responsibility.

GENERAL INTELLIGENCE

In relation to the relevant educational or occupational population.

SPECIAL APTITUDES

How far does the job require any special ability, other than that provided by general intelligence, or indicated by competence or interest:

- Mechanical aptitude
- Manual dexterity
- Facility in the use of words
- Facility in the use of figures
- Facility in judging space and form

INTERESTS

Occupational or leisure interest. How far does the job require interest in:

The intellectual sphere (solving problems requiring a scientific or otherwise logical approach, including those of an administrative, legal, or mathematical nature).

The practical-constructional sphere (manipulating, repairing, or constructing things).

The physically active sphere (outdoor and other pursuits involving considerable effort or agility).

The social sphere (persuading, managing, understanding, helping, entertaining, or being with people).

Artistic expression (in colour, design, layout, music).
PERSON SPECIFICATION (cont.)

DISPOSITION

What kind of role does the job involve in terms of:

Acceptability (define to whom, e.g. age group, socio-economic group) in a social and occupational sense.

Influence (influencing others or taking the lead among them).

Steadiness and dependability.

Self-reliance.

Trustworthiness in dealing with confidential matters.

CIRCUMSTANCES

Are there any special requirements in relation to his/her domestic circumstances? (marital status, dependents, mobility, etc.)

Should he/she be able to drive a car, etc?

CONTRA INDICATIONS

What would rule out an applicant at the outset?
3. THE SELECTION INTERVIEW

What roles do the interviewers have?

Having decided who has to be there, it is important to determine exactly what roles and rights the selection panel members have. For example, in some selection interviews, assessors may be involved. Assessors will be expert in the technical aspects of the job. Frequently their role is limited to proposing who, in their opinion, could do the job, and who could not. They may, however, have no voting rights in the final decision.

A panel will need a Chairman to ensure that the proceedings work smoothly.

Having checked out the roles that need to be filled, the panel (even if it is only two people) will need to allocate the questioning area and time amongst themselves. This can be done after the panel have discussed the following questions briefly amongst themselves, and then considered the structure of the interview:

- Read the application form and any other available information (e.g. job description/person specification, reports) carefully. What additional information is required?

- Are there gaps, inconsistencies and points requiring amplification and/or explanation? Make a note of these.

- What life patterns are suggested and what is their possible significance?

- Which seems to be the most suitable area to discuss first?

The interview structure

Before you begin interviewing, you should have a structure for the interview in your mind. This enables you to proceed logically ensuring that all points are covered. It also begins the interview on "easy" issues for the candidate so that he can relax a little in what for most of us is an anxious situation. By having a structure, time can be properly allocated to the important elements of the interview, so that progress can be maintained at a steady pace and not all rushed at the end (see table 1).

4. ASSESSMENT METHOD

When you are selecting from a number of candidates for a job it is often quite difficult to choose between them. They will all have different mixtures of attributes making it quite a complex decision-making process to choose the right one.

This process is further complicated if a number of people are involved in the selection process. They will all have distinct views about the candidates. This note suggests how you can systematize the assessment of candidates. It does not avoid the necessity for subjective judgements. These will always be present in selecting someone for a job. What it does do is to help you organize these judgements in a methodical way.
### Table 1. Recommended Interview Structure

<table>
<thead>
<tr>
<th>STAGE</th>
<th>ELEMENT</th>
<th>FEATURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Welcome Interviewee</td>
<td>Greeting</td>
<td>Culturally acceptable gesture/words.</td>
</tr>
<tr>
<td></td>
<td>Introductions</td>
<td>of selection panel.</td>
</tr>
<tr>
<td></td>
<td>Explanation</td>
<td>of structure of interview. Reference to job.</td>
</tr>
<tr>
<td>Acquire Information</td>
<td>Family Background</td>
<td>Early life, size of family, etc.</td>
</tr>
<tr>
<td></td>
<td>Education</td>
<td>Secondary/Tertiary. Exams taken/results. Comparative performance. Progression through institution. Social/sporting. Positions held. (N.B. Do not ask for information already provided on the application form.)</td>
</tr>
<tr>
<td></td>
<td>Future</td>
<td>Short and long term goals. Plans made and already activated. Degree to which job applied for fits into plans.</td>
</tr>
<tr>
<td>Supply Information</td>
<td>Descriptions</td>
<td>These may be taken alternatively. Describe features of job - possibly referring to Job Description. Invite questions. Ask professional questions re: important aspects of the job (&quot;What would you do if ...?&quot;). These questions should be drawn from your job analysis against your knowledge of what should be done. Special requirements (travel, training, etc). Salary and benefits.</td>
</tr>
<tr>
<td>Final Section</td>
<td>Wrap up</td>
<td>Ask if anything missed out. Other questions to be raised, etc. Expenses.</td>
</tr>
<tr>
<td></td>
<td>Lead in time</td>
<td>Explain what is to happen now and when candidate may hear answer. Refer to need to check references, conduct medical examination, etc.</td>
</tr>
<tr>
<td></td>
<td>Close</td>
<td>Thank for coming. Conduct to the door. Culturally acceptable parting gesture.</td>
</tr>
</tbody>
</table>
Basics of the method

The basics of the method are as follows:

- First identify the necessary knowledge, skills and attitudes that a candidate must have to perform the job successfully.
- Secondly, your view of every candidate is tested against every other candidate for each one of the necessary attributes. The results of this testing process, which can be done by the individual selector alone, or with others when there is a group selection process, create a score for each candidate.
- Thirdly, this score can be weighted so that not all attributes are considered as having the same degree of importance.

The following two points set out the method in more detail.

1. Selecting Attributes

The process of undertaking a job analysis, preparing a job description and person specification will have highlighted the main attributes that a person must possess to do the job successfully. In fact your person specification should obviously describe these quite clearly.

Prior to the selection interview write down (and if it is a panel interview agree) what the attributes for success are. You may want to classify them under the three headings of:

- Knowledge (experience)
- Skills
- Attitudes

We suggest that you have no more than 10 attributes.

2. Identifying the Attributes

The process of identifying the attributes includes the selection interview itself, of course. But you should also consider the information on the application form as well as any references that have been obtained from people who know or have worked with the candidate previously.

Treat references with some caution. Referees are not always accurate in their judgements. They may be biased because the candidate wants to leave them, for example. If you can, telephone the referee and discuss the reference with him or her. Check that there is nothing omitted.
Exercise 5.1 - Problems in Employing People

1. **AIM**

   The aim of this exercise is to give participants an opportunity to reflect on the main issues with which they have to cope in the way staff are recruited and employed in their health organizations.

2. **STRUCTURE**

   The exercise begins as individual work which is then brought together in a group discussion.

3. **TASK**

   **Step 1**

   As an individual consider and write down three or four issues which you consider have a major influence on the way staff are currently recruited/selected, employed and inducted into their work in your organization. You have 15 minutes for this step.

   **Step 2**

   When all individuals have completed Step 1, they should come together in groups of six or seven and share their lists. Ideally groups should be formed of individuals from the same organization.

   After sharing the lists, the issues should be ranked in order of importance.

   You have 45 minutes for this step

   **Step 3**

   Groups should reconvene in a plenary session and report their findings to the total workshop.

   **Step 4**

   If possible, all the groups’ conclusions should be written up on a flipchart or blackboard and remain in view during the workshop so that reference can be made to these issues as it progresses.

4. **TIMING**

   The whole exercise should last no more than 2 hours including the plenary discussion.
STAFF ESTABLISHMENT & RECRUITMENT
Exercise 5.2

Exercise 5.2 - Job Analysis

1. AIM

The aim of this exercise is to give participants an opportunity to practise a job analysis interview.

2. STRUCTURE

The workshop members should divide into pairs.

3. TASK

Step 1

Using the note entitled "Job Analysis" (see Annex 5) one member of the pair should interview the other to discover the nature of his job and the contribution it makes to the overall organization. This step should last about 20-30 minutes.

Step 2

Repeat Step 1 but exchange roles.

Step 3

After both interviews the pair should identify 2 or 3 key things they learnt about conducting a "job analysis" interview. Prepare to report these back to plenary.

4. TIMING

The exercise will last for about 1 hour and ten minutes.
Exercise 5.3 - Job Descriptions

1. AIM

The aim of this exercise is to give participants an opportunity to practise drawing up job descriptions.

2. STRUCTURE

This exercise is done individually.

3. TASK

Draw up a job description for your own job. You have 40 minutes for this.

4. TIMING

The exercise should last no more than 60 minutes.
6. Management-Staff Relations

6.1 Introduction

Health organizations can only function through their staff, thus the quality of work depends to a large extent on the nature of the relationship between management and staff - the interaction between the managers and the managed - both individually and collectively. Where this relationship is good, there will be high morale, which can be defined as:

"a general attitude of workers based upon their faith in the fairness of employer's policies and behaviours, the adequacy of immediate leadership, a sense of participation in the organization, and an overall belief that the organization is worth working for."

In such an atmosphere, people (management and staff alike) work willingly and well. Where the quality of their relationship is bad there is a noticeable lowering of morale with an adverse effect on standards of work, and therefore on the quality of health care.

Although there are always at least two parties to a relationship, the primary responsibility for its quality belongs to personnel managers, because the atmosphere (or "climate") in which the organization works is largely determined by their attitudes and actions. Their day-to-day interaction with staff, individually and collectively, has a major motivating (or demotivating) impact.

Moreover, we continue to assume that management is not so much a level in the hierarchy as a process - of achieving results through people - which needs to permeate the whole of the organization. It follows from this that the staff directly managed by senior officers are themselves likely to be the managers of other, more junior, staff. We are, therefore, concerned with the management process at all levels of the health organization, and "supervision" (overseeing, setting and monitoring the achievement of objectives and standards of work) is simply one of the key managerial processes required at all levels.

The scope of this section is wide-ranging. It explores several operational techniques of achieving positive and constructive management/staff relationships in the following areas:

- effectiveness of different management styles
- use of delegation techniques
- ensuring discipline
- managing conflicts.

These headings are closely interrelated. They should also be seen in relation to the concepts of Leadership and Motivation (discussed in Part A.)
6.2 MANAGEMENT STYLES - THE MANAGERIAL GRID

The concept of the "Managerial Grid" was formulated by R. Blake and J. Mouton and published in their book of the same title.

It is a valuable way of looking at managerial behaviour and provides an extremely useful framework for considering management styles and their impact on, for example, the motivation of subordinates, conflict and creativity, and decision-making.

The Five Pure Grid Styles

The Grid represents the varying styles that a manager can demonstrate in management functions. For quick reference, Blake divides each axis from 1 to 9 so that he can give a reference point on it for descriptive purposes. He identifies five so-called "pure" managerial grid styles although his full theory goes into a number of variations and so-called "back-up" styles.

The five pure grid styles are illustrated on the Grid itself.

<table>
<thead>
<tr>
<th></th>
<th>Low</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CONCERN FOR PEOPLE</strong></td>
<td>1.1</td>
<td>9.1</td>
</tr>
<tr>
<td><strong>CONCERN FOR PRODUCTION</strong></td>
<td>1.9</td>
<td>9.9</td>
</tr>
</tbody>
</table>

Characteristics of each of these five "pure" Grid styles are as follows:

**9.1** People are instruments of production.  
"Produce or perish" philosophy.  
Authority/obedience is the basis of control.  
One-to-one boss/subordinate relationships.  
Human relationships are minimized.  
Interactions between people are minimized except as work requires.  
Little concern for developing subordinates.  
"Nice people finish last".

**1.9** Work tempo comfortable.  
At best people are encouraged - not driven.  
Subordinates are expected to produce some work on grounds of loyalty and acceptance.  
Boss is an elder brother - not a stern parent.  
Human relationships are very important.  
The group, not the individual, is the key unit for friendliness and harmony.  
"Nice people don't fight".
1.1 Exerts minimum influence in contacts.
   Little concern for people or production.
   Message-carrying function - i.e., transmits messages up and down the organization without personal involvement.
   Expert at passing the blame to absolve himself or herself from responsibilities.
   Rarely initiates criticism spontaneously.
   Wants minimum involvement in tasks and people.
   Subordinates left to fend for themselves.
   "Present but absent".

5.5 People are as important as production - balance is maintained.
   Communicates freely with people on the basis that subordinates will work willingly if reasons for doing so are explained.
   Both formal and informal systems of communication are used.
   However, if too much is explained, staff might resist if plans have to be altered.
   Enough concern for people is shown to maintain adequate production, e.g., in the approach to management development: communication - which can be both formal and informal; performance reviews; use of meetings - consultation.
   Supervisor uses formal organization for company or department's aims - if an informal idea is good, then steps will be taken to include it in formal procedures.
   The carrot and stick (reward and punishment) approach is mellowed by the view that friction is costly to production.
   However, rather than integrating people and production, a counter-balancing approach is used.

9.9 Integrates high concern for people with high concern for production.
   People are involved and committed to production.
   Capacity of people to think creatively is utilized.
   Goal-setting is a basic approach.
   Key is staff involvement and participation in work planning and execution.
   Focus on improving organization overall, not just individuals one by one.
   Commitment comes by having a stake in the outcome of interdependent effort.
   Fact-finding and experimentation are used to produce decisions to which the whole group is committed.
   A large degree of self-imposed control is present, as distinct from externally-imposed control.
   This avoids the need for obedience as in the 9.1 situation or the total concern for people as in 1.9, i.e. the group is self-disciplined not boss-disciplined.

Based on this conceptual framework, Blake shows that from experiences of successful companies, a 9.9 style of management (participative management) is more likely to be successful in the present and future climate. If the values which managers hold can progress towards 9.9, then the organization is likely to meet its organizational goals whilst at the same time meeting the needs and requirements of the individuals making up the organization.

**Dominant and Reserve Styles**

One of the criticisms made about the Grid is that people do not behave in exactly the same way at all times. The Grid recognizes this and says that people have "dominant" and "reserve" styles of behaviour. The dominant style of behaviour is based on the assumptions which the manager has about people and the way of doing things. Sometimes, however, the behaviour based on those
assumptions does not provide the result which is expected, and in these situations the reserve style may well come into use. An example of this may be the 9.1 manager who normally has his or her own way unchallenged. When challenged and pressed, quite often the 9.1 set of assumptions are abandoned and another set, perhaps based on 1.1, govern the behaviour. In this situation the 1.1 style is used as a reserve. It may be interesting to look at some of the factors which may cause an individual to move from dominant to reserve style:

- time pressure
- fatigue
- frustration
- different types of people
- difficult tasks
- emotional stress.

One more point on this is that any style can be used as a reserve. There is no hierarchy of styles and, for example, a 9.1 style could be replaced by a reserve 9.9.

If we examine the concept of dominant and reserve styles, we know from experience that some people move quickly from one to the other whilst others move from their dominant style to their reserve style only very slowly.

6.3 DELEGATION

Delegation is the art of giving work to subordinates in such a way that they are accountable to you for it, although you have overall responsibility to ensure that the work is accomplished to the relevant standards. All managers delegate work but they may approach it in many varying ways.

Basic Steps of Delegation

Step 1 - Deciding on who should do it

When you delegate, decide who is the best person or group of people to undertake the tasks. Be aware, however, that it is very easy to underestimate the abilities of people. Many professional organizations are now aware that some people can take far more responsibility than they ever imagined, even in some cases to the extent of being able to share the work of top decision-makers.

Step 2 - Defining what is to be achieved

Be clear about the expected outcomes and performance standards and define them with the individual.

Step 3 - Allocating the means to do it

Give them the tools to do the job. In this sense "tools" include competence and authority. It is important that people have the abilities, or can obtain the resources necessary for them to undertake the delegated tasks. You need to be clear with them what these are and arrange any necessary training and approvals.
Step 4 - Maintaining Contact

You will want to hold regular sessions with subordinates to check how they are performing. These can frequently develop into coaching sessions where you assess the performance of your subordinates and discover how well things have gone and what needs to be done to improve them.

A Question - Should all tasks be delegated?

This is a difficult question in the light of trends towards sharing power increasingly with all members of the organization. But, however desirable, it can be suggested that there are some decisions which the manager cannot share. In most organizations at present it would not be considered appropriate to delegate, for example, some of the following:

a) The responsibility for determining the objectives of the department, or the responsibility for organizing the department to achieve them.

b) The responsibility for creating the right social environment within the department.

c) The responsibility for passing managerial communications down to immediate subordinates.

d) The responsibility for disciplining immediate subordinates.

e) The responsibility for developing immediate subordinates.

As can be readily seen, delegation is part of the style by which you manage. You have choices about how much responsibility to delegate to particular people in particular situations. In general the suggestion is that the manager, in choosing a particular style, would take into account the forces working on him or her, the forces working on the subordinate and the forces in the situation, in determining what should be shared with subordinates. For example, you would not delegate a task requiring a high level of interpersonal skill to someone who constantly annoyed colleagues. Increasingly, however, as mentioned above, organizations are seeing the value of having an overall style which encourages as much delegation to the lower levels of staff as possible.

6.4 DISCIPLINE

Disciplining staff is perhaps one of the most difficult aspects of the supervisor’s job; nevertheless, it is an important one. If disciplinary action is not taken at the right time, then the rest of the workforce can become disillusioned with the way that management is managing (or, more accurately, not managing).

The context of discipline

Disciplinary action is normally a last resort. If a subordinate’s performance or behaviour is causing the supervisor concern, then the supervisor must consider what is causing the behaviour or poor performance. It may be, for example, that the subordinate is not trained to undertake the work; does not understand what is required; has some personal problem of a temporary nature; or is feeling discontented because of poor leadership. When, therefore, a disciplinary problem presents itself, the effective supervisor is the one who undertakes a proper diagnosis of all the potential causes of the disciplinary problem.
Management style

The predominant management style will also affect the way disciplinary problems are handled. For example, in an authoritarian organization it is to be expected that there are strict rules governing people's behaviour at work. Transgression of these could result in disciplinary action, whereas in a more participative organization it may be for the staff themselves to regulate their behaviour regarding, for example, flexible hours of attendance.

Disciplinary rules

All organizations should have disciplinary rules which define the performance and behaviour which could give rise to disciplinary action. Such rules should be given to all employees when they are appointed to the organization; it may be desirable for staff to certify that they have received these rules.

Disciplinary procedures

Organizations should have a clear set of procedures, which all staff know about and everyone understands, on how to take disciplinary action.

Appeals against action

Just in the same way that there are rules and procedures that govern disciplinary action, organizations should have an appeals procedure which allows the disciplined member of staff to appeal to a higher managerial authority against the action taken by the manager.

Stages of discipline

There are three broad stages of disciplining staff. These are as follows:

(i) **Counselling.** If an employee's behaviour or performance is below standard then the first approach to the problem is one of counselling the subordinate. With this approach the manager should:

- encourage the employee to talk about the problems and to listen carefully;
- help the employee, through discussion, to understand better the nature of the problems;
- summarize the results of the counselling session.

To be effective the manager should know such things as:

- how long the employee has been with the organization;
- how long he or she has been in the current job and what past performance has been;
- any indications of outside problems;
- whether there is a sickness record.

(ii) **Written warnings.** If counselling does not remedy the situation then the manager should call the employee to account for poor performance or behaviour. Again the manager must encourage the subordinate to talk. It may be that in this session the manager will find out more about the subordinate's problem and agree on action steps to overcome it. A formal record is normally
kept of these decisions, of which both parties have a copy. This should make it clear what will happen (e.g., dismissal) if no improvement is apparent.

(iii) **Dismissal.** The unsatisfactory performance or behaviour may persist and, ultimately, it may be that the employment contract has to be terminated. This should be done, once again, after an interview with the subordinate and in accordance with the employment contract which exists between the employee and the organization.

(iv) **Serious offences.** Where the behaviour or performance has involved severe misconduct or dangerous behaviour (e.g., striking a patient or endangering patient care through being drunk or drugged) the employee’s contract should be terminated without the previous stages. This would normally be done after suspending the employee to investigate the problem, then interviewing him or her and hearing his/her side of the case and, if unconvinced by this, dismissing the staff member immediately.

**The disciplinary interview**

The above paragraphs set out a few general ideas about the disciplining of staff. It is useful for a supervisor to have in mind a clear framework which is used when undertaking the disciplinary interview itself. Do not forget that the purpose of the disciplinary interview is to identify what actions are necessary to deal with situations where organizational rules have been broken.

If you suspect that an individual has behaved in such a way as to warrant disciplinary action, there are a number of preliminary steps that have to be taken. These are basically establishing a "gap" between what is required of an employee and what he/she is actually doing. In being clear about the performance gap you may want to refer to:

a) previous disciplinary action (whether this was counselling or an actual warning);

b) any agreed performance standards;

c) the organization’s disciplinary rules;

d) job descriptions;

e) the nature of the "transgression" (the alleged fault).

In establishing the gap you will obviously do some preparatory work prior to the interview, but it is unlikely that you will get all the facts, particularly those concerned with the transgression.

You should check your disciplinary procedures to see what the destination of your record and warning should be. At the minimum:

i) the employee should receive the warning and acknowledge such receipt (assuming that the disciplinary interview is not just an early counselling session);

ii) the record and warning should be placed on the employee’s personal file;

iii) you should keep a copy of the record and warning as well.

Some procedures allow warnings to be removed after a certain period of proper behaviour. You will wish to make note of this so that you can take the appropriate action at the right time.
As mentioned in the beginning, disciplining staff is never an easy matter but the ideas set out here should enable the supervisor to deal with disciplinary problems without undue embarrassment or difficulties and, in particular, help to achieve improvements in the subordinate’s performance or behaviour.

6.5 MANAGEMENT OF CONFLICTS

Conflicts between groups of people in all organizations are inevitable. The disagreement might be about objectives, allocation of funds, responsibilities, or any other facet of organizational life that requires a choice of decisions to make progress.

The conflict can be between departments in the same division; between division and head office; between different professionals, or between management and staff associations. The issue can be of major consequence or of minimal importance.

Whatever the nature and scope of the conflict, it is vital to have some way of resolving it as quickly as necessary whilst still maintaining, or even better, improving, the relationship between the disputants.

6.5.1 Reactions to Conflict

People vary in their reactions to conflict. Set out below are some archetypal reactions, based upon the concept of the “Managerial Grid” explained in Section 6.2:

a) (Shrugger) Nothing to do with me. 1.1. This sort of response comes from those who want to avoid any involvement in the disagreement; they do not want to be involved and so pass the responsibility to others.

b) (Peace keeper) Do not disturb the peace. 1.9 This response comes from those who want to keep everyone happy; friendly reactions must not be put at risk; tensions are reduced by a joke.

c) (Rough-shod rider) Do it my way (or else). 9.1 The rough-shod rider considers those who disagree with him are in some way inferior; he/she brushes conflict aside believing only in his or her own “rightness”.

d) (Compromiser) The middle-way person. 5.5 The middle-way person searches for compromise solutions; the favourite solution is splitting the difference.

e) (Confronter) What is the problem? 9.9 The confronter directly faces the problem, focuses on the issue and aims for a resolution of the conflict based on the merits of the case.
The Confronting Approach

The "confronting" style is one that focuses on the issue as a problem to be resolved. The significant difference between this style and the others is that the confronter believes that solutions can be found on a "win-win" basis and searches for the over-riding goal from the outset and during the negotiations.

The confronter recognizes that people's behaviour results from their perception of the conflict, and bases the conflict-resolving strategy on the need to persuade the other side that the possibility of a win-win outcome is feasible and should be searched for. To achieve this he/she concentrates not only on the task of negotiation (i.e. the fundamental issue) but also on the interpersonal relations between the people involved and the sequence of steps to resolving the dispute.

The confronter acknowledges a win-win solution can be brought about only if account is taken of the relationship between the parties, and involves them in a systematic approach to resolving the disagreement.

6.5.2 Systematic Approach

(i) The aim

The aim of resolving conflict is to achieve agreement that serves the best interests of both parties and encourages a harmonious long-term relationship.

This goal may seem unattainable but note the key words "serves" and "and". Put another way round you are trying to make sure that the relationship between the parties is not damaged during the process of resolving the conflict. To achieve this the agreement must be one which both parties feel is the best possible in the circumstances. If it is not, and one party feels he/she has lost, he/she will become aggrieved and want to make sure to "win" the next conflict.

Note that the goal is not necessarily to make everyone, or even one person, happy. It is a goal that recognizes the longer term, and aims to make sure that what is done in the short term will serve this longer-term interest.

Note also that this conflict-resolution sequence is a specific application of the problem-solving technique explored in another section (see Section 4 - Problem-Solving).

(ii) Defining the Problem

a) Wants and Needs. There are two sides to defining the problem. The first is to consider what your adversary wants as a result of successfully concluding the conflict. The second is concerned with what you want.

Do not forget that the presenting symptoms of the conflict (wants) may actually, and probably do, conceal more basic needs. You must discover the real needs of the other party.

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1 This term suggests that both parties or sides in a conflict situation "win" through finding a solution. The idea is to get away from the scenario of "losing and winning" which will block effective resolution of the problem.
Similarly be clear about your own needs. Make a list of them and rank them in order of priority.

b) Multiple Causes of Conflict. In defining the problem you should be aware of the fact that there is almost certainly more than one cause of the conflict. Your job is to analyze all the possible sources of conflict before you move any further in attempting to resolve it. Make sure that all the issues are evident.

At the conclusion of the problem-definition stage you should be clear about the issues involved in the conflict from both your own and your adversary's points of view.

(iii) Gathering Information

Obviously in defining the problem you will have had to gather a great deal of information about your adversary's wants and needs. But in this particular stage you need more information about the possible constraints upon any solution. To begin with, find out:

a) What power you have. Your power derives for your being clear about what your objectives are and knowing what stands in your way of achieving them.

A neat way of summarizing the power issue is the following:

"They have power over what you want.
You have power over what they want.
Therefore, you have power over what you want."

Obviously those statements are not absolute truths. But a clear analysis of these factors based upon the best information you can obtain will help you. You will know just which are the genuine constraints you are working under and which are false, based upon incorrect assumptions, perceptions, etc.

b) Who on the other side has the power to settle the conflict?

(iv) Generating alternatives

Successful negotiations are almost always creative negotiations. Again, in thinking about alternatives, consider them from the point of view of your requirements and the wants/needs of the other party. A good way of thinking about alternatives is to try to brainstorm as many ways as you can possibly think of for resolving the conflict. It does not matter now impractical some of these ideas might be. You may be able to build on them later, and brainstorming will liberate your thinking.

Once you have generated your list of alternatives, consider each one in terms of what you believe your adversary needs, and what you need.
To give you a firm framework for evaluating the range of solutions to the conflict, consider the following:

**Using the Min-Max Strategy**

The Min-Max strategy is a favourite approach of professional negotiators, so we will deal with it in some detail here.

The strategy recognizes that conflict resolution depends upon people changing their demands. In effect people will make concessions to achieve something that they want more than the concession they are giving up. In considering alternative ways of resolving the conflict you must ask yourself four basic questions:

a) What is the minimum I can accept to resolve the conflict? This position is often referred to as your BATNA (i.e., Best Alternative to a Negotiated Agreement).

b) What is the maximum that I can ask for without appearing outrageous? This is your MAXDEM (Maximum Demand). Your MAXDEM must have a logic to it so that you feel confident about justifying it. You should build into your MAXDEM a number of features upon which you would be willing to make concessions.

c) What is the maximum I can give away (MAXLOSS)? Again, your MAXLOSS (Maximum Loss) should represent the maximum that you are willing to concede to get what you want. Like the MAXDEM, think creatively about all the things that might cost you little and upon which you would happily make a concession to achieve your objective.

d) What is the least I can offer without appearing outrageous (MINOFF)? This is like the MAXDEM, except that is represents a logically justifiable position for offering the minimum to the other party.

Once you have determined your Min-Max strategy, do the same for your adversary. Be cautious, however, that you do not just transfer your own views and values to the other party. He/she may, and probably is, very different from you in the assumptions made, the values held and the logic employed.

One of the advantages of the Min-Max strategy is that it forces you to think of the negotiations as a complex of issues. If it were a simple issue, one person would win, and the other lose. Win/lose conflict stores up trouble for the future. By identifying a number of issues that can be brought into the conflict, it allows both parties to move from their opening position.

*(v) Finding a Solution*

As we have already discovered, conflicts that are resolved successfully require both parties to make movements. Hence the importance of having a number of issues within the negotiation. This section of the problem-solving sequence suggests how you make movements.

a) Fix it. The "fix it" solution is very simple. You find out what the other party's real problem is, and then you settle it. In other words there is no negotiation at all because the solution is so easy to implement and costs you so little that there is no point in negotiating any further about it.
b) Symbolic Solutions. Symbolic solutions cost you nothing but create a resolution because it meets the "status" need of the other party. Quite often organizational titles, or committee membership, are seen as symbols. They cost little to the provider but can mean a great deal to the receiver.

Symbols can also include the process of reaching a solution. What this means is that, although you have already made your mind up about a solution, you call meetings to discuss alternatives so that people feel they have been involved.

c) Face Saving. However well you are succeeding in a negotiation, it is important that the other side does not feel too aggrieved by the outcome. If you sense this may be the case, you must allow the other party some concession which costs you little, but can mean something to him or her. He/she must be able to show colleagues that something was obtained from you.

d) Trading or Linking Concessions. The skill in trading concessions is giving something that costs you relatively little in return for something that you want a great deal.

To be able to concede something, you need to know that it is something the other side would value. Hence the importance of defining the problem from both parties' perspectives, rather than from yours alone; and not just taking the presenting symptom of the conflict but really trying to find out what lies behind it. Once you have discovered the real reason, you can then tailor your concessions to what is really wanted, rather than what is merely expressed as a "want".

A very useful strategy in making concessions is what is called "conditional bargaining". Conditional bargaining employs sentences like "If you do this, then I will do that". Every concession is conditional on the other party agreeing to change as well.

Conclusion

When you attempt to resolve conflicts, always remember that your aim is to achieve an agreement that serves the best interests of both parties and encourages a harmonious long-term relationship. To do this, separate the people from the problem. Be tough about the problem, but considerate with the people.

Additional reading in Annex 6.
1. PAYMENT SYSTEMS

This annex is not the place to go into detail on the many types of payment systems that exist. Nevertheless, a manager needs to know something about various features of pay, if only to consider the appropriateness of payment systems in use in his/her own health organization.

Comparisons

Employees generally feel more aggrieved about their pay when they perceive others earning the same or more for what they consider to be less demanding work.

To reduce the potential of such grievances, various approaches have been devised to try to "measure" one job against another. This process is called job evaluation. It is more fully explained under point 2 of this annex.

Some employment policies do, however, run counter to the principle of jobs of equal weight being paid at the same rate. An example of such a policy is often referred to as the "Market Rate" policy. This policy argues that an employer should pay what is necessary to attract the supply of labour demanded.

All approaches to settling pay levels are compromises. There is no objective, scientific way of determining the worth of a job. A manager's task is to constantly consider the role which salary plays in attracting staff of the requisite abilities and in motivating existing staff to give their best.

Conditions of Service

Conditions of Service are those other aspects of the employment relationship which set out, for example:

- how many hours the employee should work;
- what extra payments may be earned for overtime, night duty etc.;
- how much annual holiday he/she is entitled to;
- what statutory or religious holidays he/she is entitled to;
- what happens to pay if he/she is sick;
- what happens if he/she is injured at work;
- what pension arrangements there are - if any;
- length of contract, etc.

Conditions of Service should be written and available for an employee to see.
The Employment Contract

The nature of the contract between an employer and an employee depends upon the cultural and legal system of the country. Typically the contract will set out the pay arrangements and terms and conditions of service relating to the individual, in consideration of which he/she agrees to undertake certain responsibilities and work (often set out in the job description). The contract will also refer to grievance and disciplinary procedures.

Standard Conditions of Service

In a very large number of health care systems, the conditions of employment for office and professional staff (e.g. doctors, nurses, clerks, etc.) differ markedly from those for manual staff (e.g. ancillary workers, porters, drivers, etc.). There is nothing intrinsically wrong about this but the modern approach to employment is generally moving in the direction of everyone being employed under similar conditions of service. The argument for this is based upon the feelings of unfairness generated by the application of different conditions of service for health care staff who often have to work side by side in the health team.

Merit Pay

Merit pay is a payment system which rewards each individual (or group) for a contribution to the efficient performance of the organization.

For merit pay to be perceived to work fairly, it is important that there is a reasonably satisfactory way of measuring performance. In health care this is notoriously difficult. The danger of merit payment systems is that, unless they are well constructed, they can cause feelings of jealousy and unfairness among people whose jobs require them to cooperate.

If they are well devised they can, of course, recognize that people do contribute differently to the performance of the organization and provide additional reward to those who perform best.

Conclusion

This is intended as a very brief comment on pay. The determination of pay and conditions of service is a specialized function. The job of the manager is to consider whether current systems reflect the requirements of the work to be performed in the health care organization. In consideration of this, it must be borne in mind:

- the grievance caused by unfair comparisons;
- the ability to attract and retain staff;
- how pay is, or is not, being used to foster performance and motivation;
- whether cooperation between staff is being threatened by the payment system.

2. JOB EVALUATION

What is job evaluation?

Job evaluation is concerned with assessing the relative demands of different jobs within an organization. Job evaluation does not determine the actual amount of pay.
Several techniques of job evaluation have been developed. Though varying in their complexity and approach, all but the most simple involve an examination of jobs according to criteria such as skills, responsibilities and working conditions.

Job evaluation is not an exact science and is to some extent subjective, since job demands cannot always be measured with precise accuracy. The main aim is to be systematic.

What are the advantages?

Job evaluation can:

- establish acceptable differences in the wage rates between jobs;
- create simpler pay structures;
- reduce the number of grievances over wage differences;
- fit new jobs into existing pay structures, thus easing technological and organizational change.

How to approach job evaluation

Seek advice: a good rule is to seek expert advice before acting.

Get agreement: the key to the success of any job evaluation scheme will be its acceptability - to management and employees.

Decide where to begin: among the main points to be decided, once the need for a job evaluation scheme has been established, are:

- the number of jobs and composition of the workforce to be covered;
- the type of scheme to be adopted;
- the procedures needed to introduce job evaluation.

Monitor the scheme: whatever method of job evaluation is used, procedures must be devised to keep the scheme up-to-date.

Some alternative methods

Job ranking: this is commonly thought to be the simplest method. Each job is considered as a whole and is then given a ranking in relation to all other jobs. A ranking table is then drawn up and the ranked jobs grouped into grades.

Paired comparisons: this is also a simple method. Each job is compared as a whole with each other job in turn and points awarded (0, 1 or 2) according to whether its overall importance is judged to be less than, equal to or more than the other. Points awarded for each job are then totalled and a ranking order produced.

Job classification: this is similar to ranking except that it starts from the opposite end; the grading structure is established first and individual jobs fitted into it.
A broad description of each grade is drawn up and individual jobs considered typical of each grade are selected as "benchmarks". The other jobs are then compared with these benchmarks and the general description and then placed in their appropriate grade.

**Points assessment:** this is the most common system in use. It is an analytical method which, instead of comparing whole jobs, breaks down each job into a number of factors - for example skills, responsibilities, physical and mental requirements, and working conditions.

Points are awarded for each factor according to a pre-determined scale and the total points decide a job's place in the ranking order. Usually, the factors are weighted so that, for example, more or less weight may be given to hard physical conditions or to a high degree of skill.

**Factor comparison:** this is also an analytical method, employing the same principles as points assessment but using only a limited number of factors, such as skills, responsibility and working conditions.
Exercise 6.1 - Problems in Management-Staff Relations

1. AIM

The aim of this exercise is to give participants an early opportunity to reflect on issues of management style and motivation, delegation and participation, discipline and conflict, as they affect relations with health staff.

2. STRUCTURE

The exercise begins as individual work which is then brought together in a group discussion.

3. TASK

Step 1

As an individual, think particularly about the managers for whom you have worked. Make a note of these and rank them in order of effectiveness, as you perceive it, in their relations with staff. (If you have only worked for one manager, do not worry, move to the next Step).

Step 2

Compare the most effective manager with the least effective. What are the particular attributes that he possessed which were not possessed by the ineffective manager? If you have only worked for one manager, identify what you consider to be his effective and ineffective attributes.

Step 3

When all participants have completed their individual lists, come together in groups of 6 or 7. Share the lists which identify effective and ineffective attributes and try as a group to rank these, from attributes which everyone agrees are highly effective, down to attributes which everyone agrees are highly ineffective.

Step 4

Groups should reconvene in plenary session and report their findings to the workshop.

Step 5

These findings should be displayed on flipcharts or a blackboard.

4. TIMING

The whole exercise, including the plenary session, should last about one hour.
Experiential Game

Experiential learning is intended to involve participants in situations using the variables they wish to understand. Participation in such a learning simulation tends to be more powerful than normal teaching methods, as the manager directly experiences the influence of these factors.

This short game is designed to highlight some issues of control and delegation in task-oriented organizations. Your group is arranged according to the following diagram:

```
       A
      / \          + a number of observers
     /   \        
    B     C
   / \   /  \
  D   E  F  G  H*  
```

Communication

In this task, supervisors B and C report to Manager A and may exchange notes with him but not with each other.

Employees D and E report to supervisor B, and may exchange notes with him but not with each other.

Employees F, G and H* report to supervisor C, and may exchange notes with him but not with each other.

*No other communication is permitted (no talking).*

The cards

You may not display your cards to your immediate boss. However, you may pass up to two cards at a time to your immediate boss, if he should ask you to by note, and if he gives you the same in return. No person should have more than four cards at a time, except at the moment of exchanging cards.

*H will only exist in groups of eight participants.*
Exercise 6.2 - Assumptions about Management

1. AIM

The aim of this exercise is to give participants an opportunity to understand the assumptions that they make about people and human nature, and how this affects their management of health staff.

2. STRUCTURE

The exercise is undertaken by each individual separately.

3. TASK

Step 1

Complete the questionnaire headed "Assumptions about Management".

Step 2

When all individuals have completed the questionnaire, the course tutor will announce the key to the answers.

Step 3

This step is a general discussion on the results of the questionnaire and its implications for teamwork.

4. TIMING

The exercise, including plenary discussion, should last no more than 45 minutes.
MANAGEMENT-STAFF RELATIONS
Exercise 6.2

QUESTIONNAIRE: Assumptions about Management

This instrument is designed to help you understand better the assumptions you make about people and human nature. There are ten pairs of statements. Give a weight from 1-10 to each statement to show the relative strength of your belief in the statements in each pair. The points assigned for each pair must in each case total 10, e.g. 7 and 3, 5 and 5, 1 and 9. Be honest: resist the natural tendency to respond as you would "like to think things are". This instrument is not a test. There are no right or wrong answers. It is designed to be a stimulus for personal reflection and discussion.

1. People will quite naturally only do the minimum that is required of them.
   People will only do the minimum if the work has no meaning for them.
   ________ (a)
   ________ (b)

2. Access to "wanted" information by employees will encourage them to have better attitudes to work.
   Access to "wanted" information by employees is likely to lead to more difficulties for management.
   ________ (c)
   ________ (d)

3. Requesting ideas and suggestions from employees produces no real benefits as their views are often too limited.
   Useful ideas and suggestions can come from employees, and can be beneficial to them in broadening their views.
   ________ (e)
   ________ (f)

4. Imagination and creativity are not frequently employed at work because they are rare attributes to be found in only a few people.
   Imagination and creativity at work are often stifled by the nature of the job and supervision.
   ________ (g)
   ________ (h)

5. Standards of an employee's work are likely to rise if they are accountable for what they do.
   Standards of an employee's work are likely to fall unless occasional threats are made to him about his performance.
   ________ (i)
   ________ (j)

6. Employees prefer to hear the whole story about difficulties, even though this may be somewhat painful to them.
   Job security is so important to people that it is best not to let them know about all the difficulties that may be experienced.
   ________ (k)
   ________ (l)

7. It reduces the respect accorded to a supervisor by employees if he admits he has made a mistake.
   As everyone is human, it is likely to enhance the respect accorded to a supervisor if he admits to a mistake he has made.
   ________ (m)
   ________ (n)
8. Providing people have enough money, they are not very concerned about the nature of the work they do. 
Interesting and challenging work may reduce the level of concern employees have about their earnings.

9. By allowing people to set their own goals and standards, it is reasonable to expect them to be ambitious.
By allowing people to set their own goals and standards, it is reasonable to expect them to be set at an easily achieved level.

10. The more a person has autonomy in his job, the greater is the need for management to ensure that this autonomy is being used appropriately.
The more a person has autonomy in his job, the less is the need for management to ensure that this autonomy is being used appropriately.

Having completed this instrument, please add the points as follows:

Sum of (a), (d), (e), (g), (j), (l), (m), (o), (r), (s) =

Sum of (b), (c), (f), (h), (i), (k), (n), (p), (q), (t) =
Exercise 6.3 - Applying Expectancy Theory

1. STRUCTURE

As the exercise is quite complex and needs careful analysis, it is suggested that it is undertaken in pairs. One pair member will act as a consultant to the other pair member, helping him to undertake a thorough analysis of the motivational problem and thinking with him about creative solutions to this. After one member’s problem has been analyzed then the roles should reverse.

2. TASK

It is best to undertake the application of expectancy theory in a series of steps. These are as follows:

Step 1 - Identifying the Motivation Problem

Consider in what way an individual’s performance is not up to the standard that you hope for or expect. Describe the behaviour of the individual or individuals and the situation in which the behavior shows itself.

Step 2 - Context of the Problem

In this step you should identify the context in which the work is undertaken. This should help you in analyzing the problem and in particular presenting it to the consultant pair member. You should be able to answer the following questions:

a) What is the purpose of the work which the individual undertakes and what does he have to do in terms of tasks to be performed?

b) Consider in detail the individual whose behaviour you are hoping to change; for example, how old is he, what competencies does he have, how long has he been doing the job, etc.

c) Consider whether there is anything else that you should note down which might be valuable in analyzing and understanding the performance problem.

Step 3 - Present and Future Behaviour

In this step you have to concentrate particularly on the behaviours that are actually observed and contrast them with those which you want to occur. This step will be most valuable when you have completed it as specifically as possible.

Step 4 - Analysis of Causes

During this step write down what you see to be the major cause or factors that lead to the performance problem. Remember that the causes of behaviour and performance problems can be classified as:

- ability (is there sufficient information, expertise, capacity, skills, etc., to do the job?);
- desired performance (is there a lack of understanding about what performance is actually required and expected?);

- performance-to-outcome expectations (to what extent does the individual perceive the relationship between the outcomes and his performance?);

- value of outcomes (to what extent does the individual value and/or appreciate the expected outcomes which would result from his performance?);

- effort-to-performance expectations (to what extent is the individual able to relate the connection between the expenditure of his effort and the achievement of his performance?

- individual needs (to what extent is the individual able to satisfy his own needs as a result of his efforts?)

The above list should provide a thorough basis for analyzing the cause of performance problems.

Step 5 - Action Planning

Now that you have identified the causes of a performance problem the next stage is to change some aspects of the relationship between effort and outcomes. You might find the following question helpful:

What particular outcomes does the individual value? (you will be able to assess these from observations and discussions with him). Try to list these outcomes in some order of importance. If you have insufficient information on him, what can you do to discover what things he does value?

Secondly, be clear and define what expected performances you require and list them.

Thirdly, try to devise links between the outcomes and the performance. Here you are trying to find ways in which good performance can be reinforced. Make a list of these ways.

Fourthly, does the individual have the capacity to achieve these performance levels? In other words, are the levels that you require attainable by the individual? If you think they are not, what changes have to be made in the performance levels?

Fifthly, is the context of the work appropriate? In other words, are there other things reinforcing undesirable behaviour which you could control? If so, what can you do about this?

Finally, in what way can you monitor any changes in motivation and maintain constant surveillance over the relationship between effort, performance and outcomes.

Once you have followed this procedure through for one problem, apply it again to the problem of the other pair member.

3. TIMING

You have one and a half hours for this exercise.
MANAGEMENT-STAFF RELATIONS
Exercise 6.4

Exercise 6.4 - Delegation

1. AIM

The aim of this exercise is to encourage participants to think about the basis on which they delegate work to subordinates.

2. STRUCTURE

The exercise begins individually and then individuals form into groups of about six or seven to discuss their conclusions.

3. TASK

Step 1

On an individual basis, think about the way you manage your subordinates and the basis upon which you have delegated work to them. Try to identify four or five criteria which influence your decisions to delegate work. Think also about how your subordinates might feel about the way that you delegate work. What particular things do they think you are good at when you delegate work and what particular things do they think you might be poor at? Make a note of all these.

Step 2

Having completed Step 1 (after about 30 minutes) form into groups of six or seven and share the conclusions that arise from Step 1.

Step 3

After the sharing of conclusions, prepare a list of criteria which you think should form the basis for action by any manager delegating work to subordinates. Be prepared to share this list with the whole workshop.

4. TIMING

You have about 30 minutes for Step 1 and 45 minutes for the completion of the exercise in a group discussion.
Exercise 6.5 - Conflict Styles

1. AIM

The aim of this exercise is to try and identify each individual's preferred style for dealing with conflict.

2. STRUCTURE

The exercise is done individually to begin with and then, when each individual has completed it, they should form into groups of six or seven and attempt to reach a consensus on the most appropriate answer, to be reported to a plenary discussion.

3. TASK

Step 1

Your task is to rank the five alternative courses of action, under each of the four cases below, from the most desirable or appropriate way of dealing with the conflict situation to the least desirable. Rank the most desirable course of action "1", the next most desirable "2", and so on, ranking the least desirable or least appropriate action "5". Enter your rank for each item in the space next to each choice.

Step 2

Once all individuals have completed their choice the group should then discuss all individual answers and attempt to come to a consensus decision on the ranking. Record the group's decision in the same way as each individual's decision is recorded but under the heading "Group". Make any assumptions necessary where there is insufficient information in the cases.

Case 1

Señor Emilio Escobar is the supervisor of administrative services at his country's Ministry of Health and Social Welfare. Recently he has noticed that one of his section heads, responsible for incoming correspondence, filing and distribution, has been conversing longer and more frequently than usual with the senior messenger. This has caused some delays in the mail reaching the appropriate Ministry officers and sometimes the relevant files have not been found and attached. Emilio Escobar is concerned about this and detects increasing irritation amongst his other section heads about this behaviour. If you were Emilio would you:

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Talk to the section head and tell him not to continue these conversations with the senior messenger.

Ask your own boss, the assistant secretary (administration) to ensure that the senior messenger keeps to his own work.
MANAGEMENT-STAFF RELATIONS

Exercise 6.5

C Bring the section head and the senior messenger together, ask them why they are having such frequent conversations and make clear the standards you expect them to keep.

D Take no action now because the problem is not perhaps very significant.

E Make a joke with the rest of the staff so that they know you are not worried about the matter.

Case 2

Mr Lam Po Tang is responsible for health education in the region. He believes strongly in involving his staff in trying to produce ideas for improvement of health education services. Recently one of them, Regina Kwok, has suggested that the health education department would be more effective if, instead of relying on posters and talks to patients waiting at clinics and hospital out-patients departments, the health promoters visited the village market-places to make contact with more people before they become sick.

Mr Kenneth Yuen, another member of the staff, has produced a different idea for improving effectiveness by concentrating on training primary and secondary school teachers in health education techniques. In that way, he argues, the number of people promoting health education day by day would be greatly increased. Mr Lam thinks there are merits in both ideas, but is not sure how to decide between them, particularly because Regina and Kenneth both feel strongly that their own idea is the best and keep arguing about it. If you were Mr Lam would you:

Individual

A Decide yourself which is the best idea and try to persuade the other person to accept it.

B Not take any action now because you think the best solution will gradually become clear.

C Persuade Regina and Kenneth to stop these arguments, in the interest of peace and harmony amongst all the staff.

D Bring them together and ask them to examine with you both ideas more closely.

E Suggest that a compromise could be reached taking some of the ideas from both proposals and putting them together.

Group

A

B

C

D

E

Case 3

Dr P.N. Karandikar is the hospital pathologist and has several laboratory technicians working for him. He suspects that one of them is taking drugs at work, or at least coming to work under their influence. Dr Karandikar cannot prove this, but there are some very strong indications that the technician is not performing well and inaccurate test results from him nearly caused a dangerous mis-diagnosis recently. If you were Dr Karandikar would you:
**Case 4**

Victoria Kanani is the senior community health nurse responsible for overseeing a programme of Primary Health Care for a scattered population of 50,000 through local Village Health Workers (VHWs) supported by twice-weekly visits from professional nurses who have extra PHC training. These nurses are based near the district hospital, where they have other duties when not working with the VHWs; and occasionally the hospital nursing superintendent has had to "borrow" more time from a PHC nurse to help in the operating theatres or accident department. Victoria has not been seriously concerned about this until recently, when the nursing superintendent has been keeping most of the PHC nurses to cover staff shortages, thus causing disruption of the VHW support programme and some loss of confidence by villagers in the service. If you were Victoria Kanani would you:

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A_____

Confront the technician. Say that you suspect he may be taking drugs and that you are anxious about him and the quality of his work which might affect the care of the patients.

B_____

Tell the technician that you do not want to see him under the influence of drugs at work; if he wants to take drugs he must do this in his own time.

C_____

Take no action at present in case the technician denied the problem or, perhaps even worse, it might cause him to take the drugs secretly.

D_____

Tell the technician that what he is doing could be dangerous and that you will ensure that he is eventually caught and dismissed.

E_____

Take a special interest in the technician to make sure that his habit does not endanger others or lower the quality of his work.
7.1 INTRODUCTION

Staff Development in health systems is a broad concept covering the planned, career-long appraisal and improvement of performance of all staff - professional/technical, managerial, supporting/ancillary etc. - throughout their working life from their basic training, recruitment and induction to their retirement.

It is in the best interests of the organization, as well as of the staff themselves, that systematic and sustained efforts should be made to maintain and raise the performance standards of those staff to the highest level consistent with the organization's present and future requirements. Staff development can therefore be defined as:

The systematic attempt to improve the functioning of an organization through the performance of its staff.

Staff development is not concerned with the process of basic professional/technical education, nor the process of recruitment, selection and induction of staff into the organization, but with the continuing education, throughout their careers, of those staff who have become employees of the organization, on whose skilled, motivated and experienced work the organization's functioning chiefly depends.

Nowhere is this more true than in health systems, whether "the organization" is a PHC clinic, an immunization programme, a family health service, a hospital, a department in that hospital, a district headquarters or a Ministry of Health. For the performance of staff to be an improving, rather than a deteriorating asset, there must be a sound policy and effective methods of staff development based on continuing education. The nature and the scale of this work is illustrated in Figure 1.

**Figure 1:** Why we need continuing education for all health workers.
The change and growth of required knowledge in our particular field (medicine, nursing, management etc.) leaves us needing to know more and more compared with what we first knew when we completed our basic training; this is a "new knowledge gap" - growing at a strikingly faster rate in recent years - which can only be closed by upgrading what we once knew to what we now need to know. But what we once knew is itself steadily reducing, by forgetting or failing to use all of that initial stock of knowledge in which we were originally trained: this is a retention gap which can only be closed by updating, or revising and reinforcing, what we once learned.

Adding these two forces together we are faced with an ever-widening total gap in knowledge and skills. The gap that must be closed has both technical and managerial aspects. Upgraded and updated abilities are required not only to match, for example, medical advances and new technology. They are needed also to take the opportunities provided by new information and financial control systems, better methods of storage and distribution of materials, concern to assess and respond to rising community expectations, and greater understanding of how to motivate and manage health personnel.

Very often, these objectives are not achieved since:

- In many places training and development for an improved future get little attention compared with the crises and pressures of shortage and survival today.

- Where there is specific financial provision for continuing education it is highly vulnerable to cuts.

- The performance of staff is not always appraised (assessed) in an open and constructive way so that steps can be agreed upon for its improvement.

- Sometimes post-qualification training opportunities are provided to meet individuals’ own preferences rather than the needs of their parent organization, or largely confined to the medical profession leaving other health workers without opportunities to upgrade skills/knowledge.

- Quite often staff development is seen as an optional non-essential luxury rather than as a major resource for improved competence and organizational improvement.

- Some senior health managers see staff development as only for the few with potential for future promotion, rather than to improve the daily performance of the many in their present jobs.

Staff development evidently has a low priority in health systems where skilled doctors, nurses or pharmacists are expected to take major responsibilities in the management of a PHC programme, health centre or hospital, without any training at all for such work. Each health manager is responsible for his/her own continuing development and that of the staff. This extends to both the professional/technical and managerial/supervisory aspects of present and future work.

Staff development policy should be the responsibility of the most senior manager, or management team, in the organization. It is for the senior manager or management team to set objectives in the field of staff development to ensure that there is a plan, well understood by other managers and staff generally, for monitoring and achieving those objectives.
7.2 FRAMEWORK

Staff development is concerned with both the individual and the organization.

Organizational focus

Health organizations, as do all others, exist in a changing environment. Changes are brought about in many ways, including by technology (for example, the use of new equipment or revised techniques of vaccination), by changes in personnel supply (for example, staff are no longer available in a particular province), and sometimes by political and economic constraints, but above all by the implications of policy (for example, Health for All) which provides a focus for the whole system.

In their plans for developing a health system, planners will take account of these features when they draw up their strategic service plans. Such strategic plans can, although not an absolute necessity, provide a very good occasion for undertaking a training needs survey. The purpose of such a survey is to ensure that the requisite skills are available at the appropriate time to meet whatever changed circumstances are forecast. This would also provide a useful mechanism to introduce new policy to staff.

Individual focus

It is individuals who perform the organization's work and it is the performance of this work that needs to be regularly assessed. Such a review (often called Performance Review or Performance Appraisal) identifies any problems in achieving the requisite performance, and from such an analysis it is possible to determine whether the individual has specific training needs. Such training needs can be met in a variety of ways. Some may be met by off-the-job workshops and courses, others by training on-the-job, and some by a combination of both.

Many organizations, in their staff development plans, lay probably too much emphasis on off-the-job training courses and too little on training on the job. Later in the section both these opportunities for staff development are explored in greater detail.

7.3 DEFINING A POLICY FOR STAFF DEVELOPMENT

The first activity in staff development is the drawing up of a comprehensive set of policies and plans for the development of staff. It should set out the principles upon which staff development will be practised, and the responsibilities of staff development so that a detailed plan will be produced. Such a plan will cover, where appropriate, a survey of training needs, the establishment of a performance appraisal system and the creation of an environment conducive to staff development by ensuring that all managers are committed to it as a continuing process.

A policy for staff development should include reference at least to the following:

1. A corporate commitment to continuous career-long staff development.

2. Self-development as a responsibility of every individual within the organization, guided and supported by the immediate superior.

3. The need for all to understand as much as possible about learning processes.
4. The organization’s commitment to recognize improved performance, and to provide appropriate recognition/rewards.

5. The organization’s commitment to use enhanced skills operationally as work opportunities permit.

6. Who carries responsibility for what in the identification of learning aims and the promotion of learning activity.

7. Ways in which operational aims and objectives in development are communicated to those employed.

8. Appraisal and assessment methods.

9. Any facilities provided for learning during work time, including any policy on paid or unpaid leave for this purpose.

Policies should also make clear who has responsibility for ensuring implementation and review. The most senior manager must make a commitment to the policy and to the supporting investment of money and time into the development of staff. Managers must recognize that they have an undertaking to their staff by reviewing their performance, organizing any on-the-job training necessary, and ensuring that off-the-job training is of value to both the individual and the organization. In some organizations, personnel managers are able to provide professional expertise and advice on all aspects of training and developing staff.

Finally, every individual has responsibility to ensure that he/she learns from the processes and experiences of working in the organization.

The case of managerial staff

Within a potentially vast range of activities, the need for updating and upgrading for trained professional and technical staff, particularly medical, has historically been given highest priority. However, the successful reorientation and development of national health systems requires, in most countries, a much higher standard of management at all levels, so the realization is growing that the development of managerial staff and systems (i.e. management development) needs equal if not greater attention.

There is, in many countries, a relatively new and serious attempt to give a high priority to health management development. For this a framework of policy and principles is slowly emerging, without much previous experience to draw on. Moreover, it is apparent that policy guidelines are needed not only at the centre of the national health system, where the highest strategic decisions are taken for health personnel and systems development, but also at the local periphery of the system where most of the managing is done in the operational activities of health education, disease prevention, primary and secondary health care, etc.
7.4 PERFORMANCE APPRAISAL

Performance appraisal is about achieving better performance through people knowing what they have to do, being helped to do it, and being recognized for achieving it. The performance of staff must be regularly reviewed to determine whether any remedial or developmental action, including training, is required to improve their present performance or enhance their future potential. The overriding purpose of installing a performance appraisal system is to increase the effectiveness of the organization.

Each sub-unit of the organization and the individual should have objectives for job performance, and standards against which the achievement of these objectives can be determined. Part of the Performance Appraisal process is the establishment of these objectives and standards. In the process of agreeing these, individuals may develop ideas which in fact modify the overall organizational objectives; hence in Figure 2 you will see two-way arrows indicating the influence interaction.

Figure 2: Performance Appraisal within its context

7.4.1 Setting standards for effective performance

Effective performance can be defined as a member of staff doing work that contributes directly to the attainment of organizational objectives. An objective is defined as "a task or a set of tasks to be accomplished", whilst a "standard" is a measure of how well the objective is accomplished.

Standards can be a motivating force, providing there is a genuine interchange between the manager and the subordinate in agreeing on them. Imposition is not only demotivating but likely to arouse a closed and defensive approach by the subordinate.
It is often argued that for managerial jobs it is impossible to set standards because a manager is "dealing with people". However, all jobs, if they have any significance, are there because some "output" or "results" are expected.

Output and results must be capable of being expressed in clear statements. Once this has been done it is a small step, requiring a little imagination, to define standards.

Standards should be challenging not threatening, agreed not imposed, and motivating not demotivating. When you are discussing performance standards with your staff you may wish to begin the discussion with the following sets of questions:

"What do we in this organization do, and what do I do, that helps you in doing what you are being paid for? And what do we do, and what do I do, that hampers you?" Apart from the value that answers to such a question can provide, it sets out the joint approach to standard-setting which will be necessary if the standards are going to be credible and accepted.

It should be noted that when discussing objectives and standards with staff, the standards set should comply with the following principles:

- Relate to key areas of the job;
- Link with the objectives of other staff;
- Cover not only the achievement of objectives and standards, but how they are achieved;
- Be accepted;
- Be realistic and attainable;
- Have the potential for measurement;
- Allow scope for change as unforeseen demands arise.

7.4.2 Assessing Potential

The potential of a person is by definition unknown; it is the performance of a person in the future in a new situation. Therefore, to attempt to appraise a person’s potential is an act fraught with complications. As Peter Drucker, the author and management expert, says, "not only are few of us reliable judges of man; nothing also may change as much as potential ... value judgements without clear, sharp and public standards are irrational and arbitrary. They corrupt alike the judge and the judged. No matter how scientific, ... an appraisal which focuses on "potential", on "personality", on "promise", on anything that is not proven and provable performance is an abuse".

In attempting to identify potential we need to remember that phrase about "proven and provable performance”. Hence, appraisal of a person’s potential for advancements needs to be based on what they have done in their existing and previous jobs. It is useful to bear in mind the following:

(a) Potential should not be automatically associated with promotion. Most people have the potential for development in their present job or in a similar sort of job (the process of job enrichment).

(b) Considerably fewer have the potential to be promoted to a more senior job.

(c) Very few have potential to be promoted to the top jobs (the "high flyers").
Diagnosing potential, as stated at the beginning, is not easy. People change - there are "late developers" and "burnt-out stars". Performance appraisal does give you and your staff a chance to discuss their potential and conclude how anticipated potential can actually be tested against the criterion of "proven and provable performance".

7.4.3 Performance appraisal interview

It cannot be over-emphasized that the Performance Appraisal Interview should be part of the normal management process. To adopt a different style for undertaking the interview to that which you normally use is immediately going to arouse some anxiety and concern. Try, therefore, to adopt an approach to the interview which is consistent with the normal way in which you manage your subordinates.

Some subordinates might react best to being told directly and forcefully how they are performing, but for others such a direct approach might raise barriers of defensiveness. Another danger, particularly where an authoritarian approach is taken, is that the subordinate simply wishes to please the manager and says yes to everything, without real commitment. On the other hand, a more participative approach might not meet the subordinate's needs for knowing where he or she stands.

The culture of your organization should influence the approach that you take. If the culture is one where people are told to act without thinking, then a Performance Appraisal Interview which is highly participative and problem-solving would be inconsistent and possibly ineffective.

In preparing for a Performance Appraisal Interview, consider your own style, how a subordinate might react in the culture in which you are managing, and select the approach which you think is likely to be most effective in terms of achieving results.

Further information on the conduct of Performance Appraisal Interviews is included in Annex 7.

7.5 TRAINING NEEDS SURVEY

A training needs survey is a systematic general review to discover what training is required to improve the effectiveness of the organization now and, in particular, to prepare staff for the future. A training needs survey should result in a report which can be presented to senior management. This report should prescribe quite precisely what training is required for the majority of staff, identify the costs and specify training activities aimed at meeting clearly defined needs.

Features of a Training Survey Report

The main features of a training survey report are as follows:

(a) Introduction

This outlines the reasons for the survey, its terms of reference, duration, and method.

(b) The Organization

Whether the national system, provincial or district, or specific programme/institution/department.
This must include an appreciation of the organization, its objectives, activities, structure and planned development and, where appropriate, the relationship with other organizations/services:

i) in the short (one year) term
ii) in the long (two to five year) term

It should be supplemented by an appendix showing the organizational structure at present and what it might be in the future. It should also include such other items as:

iii) current policies
iv) implications of national/strategic plans
v) implications of local/operational plans
vi) what specific proposals are being introduced in the coming years (if possible)
vii) future trends in health workers’ techniques
viii) new equipment
ix) access to services
x) quality of services

What are the staffing implications of all these developments i.e. personnel levels, more or less staff required; different professional or other skills required; existing knowledge, skills and attitudes that need updating.

What impact will these have for:

i) career structures
ii) planning for staff development
iii) planning for organizational development

(c) Recruitment, Selection and Deployment

This should describe the existing arrangements with comments on their suitability, and indications on the ways in which they can be improved.

(d) Staff

i) Appraisal - A synopsis of the agreements which have been made to provide training for individual staff who have had performance appraisal interviews.

ii) Labour turnover - A statement of the number employed in various grades, their average turnover, age structure, length of service, etc. supported (in an annex) by statistical data. Any points of importance such as high turnover in certain categories, the need for further investigation, or the reassessment of figures can be included here.

iii) The wastage amongst trainees and reasons for leaving.

iv) Accident records, sickness records, absenteeism, permanent and temporary staff, pending retirements or transfers, particularly at supervisory level and above.
(e) General Matters

i) Management/staff relationships.

ii) Health and Safety at the place of work.

iii) Legal Requirements - most departments, at some time or another, find that they are obliged to carry out training, either because of a long-standing statutory obligation (e.g. care of vaccines, security of drugs, fire precautions, anaesthetic explosions, radiological hazards, maternity refresher courses, confidentiality), or because of new legislation.

(f) Current Training

i) For each grade or category, briefly describe the training that is being provided. This training should be assessed in the light of current needs and future requirements. Is the training meeting the needs of the organization and the individuals concerned?

ii) List training commitments which must be honoured during the current and following year e.g. statutory refresher training, previously agreed programmes.

iii) For any in-service training, identify who carries it out and indicate what training qualifications they have e.g. attendance on an instructors course. Are they trained to train?

iv) Training facilities - is training done on and/or off the job, and what facilities are available?

(g) Recommendations

This section, the most important part of the Survey, follows logically what has gone before. It can be divided into parts covering categories of staff and/or individual members of the organization.

Suggested headings are:

i) Recruitment, selection and induction.

ii) Short-term training requirements - the reasons for them and how they can be met.

iii) Long-term training requirements - the reasons for them and how they can be met. Particular attention should be paid to the requirements of national/strategic and local/operational plans.

iv) Type of training required (include training for the explanation of new policies and organization arrangements, special projects, attachments, acting up, i.e. taking the responsibilities of a more senior person during temporary absence, coaching, in-service training, workshops, study days, refresher courses, etc).

v) How is the training to be provided, and by whom.
vi) Category of staff, names of individuals, numbers of staff.

vii) Estimated cost for each type of training (tuition, travelling, accommodation, etc.).

7.6 ALTERNATIVES FOR STAFF DEVELOPMENT

There are two approaches to development of staff; one of these we called "off-the-job" where staff attended a course or workshop; the other we referred to as "on-the-job".

We shall refer here to these two types mainly in relation to staff development in managerial skills.

7.6.1 Off-the-job training

Off-the-job training generally means that the member of staff goes away from the workplace to attend a specific course or programme. It is frequently expensive. Courses such as these can be considered where one or more of these criteria apply:

(a) When skilled teaching or tutorial coaching is needed that cannot be made available within the organization.

(b) When freedom from day-to-day pressures and commitments is required in order to concentrate on learning.

(c) When time is needed for training to be effective, e.g., social skills and attitude changes.

(d) When library or information room resources are needed.

(e) When speed is required because in-house training is likely to be subject to conflicting priorities or delays.

(f) When a multi-professional mix is required on neutral ground.

(g) When personal development needs are sensed rather than precisely identified and an off-the-job course can help to clarify them.

Managers need to be confident that the training relates closely to the requirements of the individual who can see the relevance of it to the work.

Training needs and objectives

(a) Have you analyzed the job and updated its description as a basis for joint assessment of training needs with the student? (We speak here of the learner/participant as a student, however senior).

(b) Are you aware of the availability of check-lists of management skills, etc. which might assist you in this analysis?
(c) After comparing the student’s needs with the course objectives, are you quite sure that this is the best training at this stage?

(d) Does the completed nomination form convey specific information about the student’s job and what you are expecting from attendance at the course?

**Briefing**

(a) Has there been discussion between you and the student about the course programme, possible project work or action plans, job handover, etc.?

(b) Are you quite sure the student understands why he or she is going on the course; what is expected; what he/she hopes to gain and put into practice later?

(c) If any preparation is required, does the student have time to undertake it and are the right books and materials available?

(d) Is help and guidance needed to prepare for the course? Who could help?

**Linking the classroom with the place of work**

(a) Have you thought through various ways in which the student’s work activities can illustrate and reinforce the course learning?

(b) Have you ever suggested that the tutors be invited to the workplace to see the local activities, management problems, processes, and plans?

**Post-course evaluation**

(a) Has time been set aside within two weeks of returning for an initial review of the course, the learning targets achieved and action plan details?

(b) What are the student’s reactions to the course at this stage and do the tutors know of specific points raised by the student or yourself?

(c) Are you and the student agreed upon action to be taken (alone or with others) for job improvement and personal development?

(d) Are you giving the necessary support, stimulus and delegated responsibility?

(e) Has time been set aside, some months after the course, for you both to assess how far the objectives of the training have been achieved?

(f) After examining all the available evidence - in management performance, personal growth, etc. - about the effects of this course, will you ensure that your senior officer knows your judgement of its value?
7.6.2 On-the-job Training

A wide variety of on-the-job training opportunities are available to be used by the creative manager.

Self development

Often self-development can be accomplished very simply: by selective use of managers' guides and books; by making a log of activities as the basis of an attempt to manage one's own time and priorities more effectively; by working through a quicker reading text; or by seeking additional expertise from specialists within the manager's own organization, such as finance, personnel or efficiency officers. It is vital that intentions should lead to action, so that the active support of the manager's senior officer becomes important, but this option is unique in that the initiative lies firmly with the individual manager - and remains with him or her.

Coaching

The initiative is taken by the manager's senior officer who, recognizing that managers learn from what they find out for themselves - a form of "discovery" learning or "problem-based" learning - guides, challenges and stretches subordinates to higher levels of performance, giving constructive feedback and putting work incidents into a framework from which principles can be drawn to guide future action.

Coaching is most likely to succeed within a participative management climate, and the indications are good where the manager's senior officer either naturally possesses, or is willing to acquire, the necessary skills - perhaps at a specialized workshop.

Distance learning

This term is used to embrace several learning methods where no teacher or tutor is present at the time of study. They are sufficiently self-contained to permit independent learning by individuals or groups away from the classroom.

Criteria for managers most likely to benefit from distance learning include those who are sufficiently self-motivated for independent study, those who prefer to work at their own pace, and those whose personal or geographical circumstances prevent them travelling to other sources of high-quality training. Generally speaking, the materials are most effective as sources of knowledge, and least effective in the development of social skills, where it is difficult to substitute for the interaction practice and feedback provided by other students and the tutor.

Job rotation and attachment to other departments or organizations

Rotation requires the participation of a number of people who can share in the development opportunity, but there are often problems of unequal commitment, of temporary loss of continuity in the jobs concerned and the risk of some irritation amongst staff not included in the rotation. Successful examples of rotation schemes can be quoted at junior and middle management levels: but for senior and specialist managers it is more difficult to arrange a regular scheme, although individual exchanges and attachments can be very valuable on an ad hoc basis.
Tutorial and advisory visits for management development

This option involves enlisting the help of any health or education system trainers who could assist as staff development advisers.

A visit to the staff's place of work could come about in a number of ways. Staff attending a course and their managers - might be visited as part of preparatory and follow-up work (itself a development experience) to help relate work practice to classroom learning and vice-versa. There might be a request from line management for advice on the creation of local staff development policies and plans. Or information and opinion might be sought about the various development options and training materials to help select the best means of developing individual senior managers.

Planned visits

There is considerable development potential for staff in making visits, alone or with colleagues, to other organizations where there is some good or distinctive practice to be seen and discussed. Indications for this approach focus on those staff, as individuals or groups, who face problems and opportunities in unnecessary isolation.

Local study days on management issues

The need for development through outside contacts, which underlies the previous option, can also be achieved by inviting management practitioners or trainers to lead, or contribute to, study days and discussions within the organization on issues where top management believe that current practice could be improved.

Participation in special projects, problem-solving and action learning groups

Assignments of this nature offer a special form of development for participating staff due to the extra dimension of working in a temporary team. Experience is gained of group-solving and decision-making and the use of interpersonal skills and styles of leadership, often in a multi-professional setting, as well as the gathering, analysis and effective presentation of relevant information. Occasionally a project may be set up primarily to give practice in the process of team working, but generally this is a natural spin-off from the main task of finding a solution to the problem itself.

The action learning approach is also problem-centered in the sense that a group of selected staff of high potential is set up to work on a range of tough, complex problems (agreed with top management) regularly over an extended period, sometimes in each department. Powerful forces for personal and corporate development can emerge from the combination of individual effort with group stimulus and support, aided by an outside tutor acting as a "catalyst" to facilitate the team's potential and suggest specialist help for participants as required.

Additional reading in Annex 7.
1. THE PERFORMANCE APPRAISAL INTERVIEW

This summary note considers some approaches to undertaking the Performance Appraisal Interview to make it both a useful experience for the organization and a motivating opportunity for the individual.

The Three Styles of Performance Appraisal Interviews

Maier identified three approaches which he labelled "Tell and Sell", "Tell and Listen" and "Problem-Solving". You will see from the table on page 2 what Maier considers to be the main features of each of these three methods. The natural tendency will be towards the problem-solving approach, as inherently it looks more attractive; but you will see from the "risks" aspect that no one approach necessarily fits all circumstances.

Performance and Defensiveness

This section looks at four possible situations in which a manager might find himself or herself when dealing with subordinates. It suggests that the manager considers the subordinate in terms of two dimensions; the first of these is the level of performance and the second the likelihood of defensiveness.

The chart below models the four situations that a manager might have to cope with.
<table>
<thead>
<tr>
<th>Method</th>
<th>Tell and Sell</th>
<th>Tell and Listen</th>
<th>Problem-Solving</th>
</tr>
</thead>
<tbody>
<tr>
<td>Role of Interviewer</td>
<td>Judge</td>
<td>Judge</td>
<td>Helper</td>
</tr>
<tr>
<td>Objective</td>
<td>To communicate evaluation. To persuade S to improve.</td>
<td>To communicate evaluation. To release defensive feelings.</td>
<td>To stimulate growth and development in S.</td>
</tr>
<tr>
<td>Assumptions</td>
<td>S desires to correct weaknesses if he knows them. Any person can improve if he so chooses. A superior is qualified to evaluate a subordinate.</td>
<td>People will change if defensive feelings are removed.</td>
<td>Growth can occur without correcting faults. Discussing job problems leads to improved performance.</td>
</tr>
<tr>
<td>Attitude</td>
<td>People profit from criticism and appreciate help.</td>
<td>One can respect the feelings of others if one understands them.</td>
<td>Discussion develops new ideas and mutual interests.</td>
</tr>
<tr>
<td>Motivation</td>
<td>Use of positive or negative incentives or both. (Extrinsic in that motivation is added to the job itself).</td>
<td>Resistance to change reduced. Positive incentive. (Extrinsic and some intrinsic motivation).</td>
<td>Increased freedom. Increased responsibility. (Intrinsic motivation in that interest is inherent in the task).</td>
</tr>
<tr>
<td>Gains</td>
<td>Success most probable when S respects interviewer.</td>
<td>Develops favourable attitude toward superior which increases probability of success.</td>
<td>Almost assured of improvement in some respect.</td>
</tr>
<tr>
<td>Risks</td>
<td>Loss of loyalty. Inhibition of independent judgement. Face-saving problems created.</td>
<td>Need for change may not be developed.</td>
<td>S may lack ideas. Change may be other than what superior had in mind.</td>
</tr>
<tr>
<td>Values</td>
<td>Perpetuates existing practices and values.</td>
<td>Permits interviewer to change his views in the light of S’s responses. Some upward communication.</td>
<td>Both learn since experience and views are pooled. Change is facilitated.</td>
</tr>
</tbody>
</table>

*S* = Subordinate
Using extremes to make the points, we can see that it is possible to have four combinations:

- **High performer, low defensiveness**

  Probably keen to have feedback on performance, both positive and negative. Will take it directly and firmly, if necessary, and enter willingly into planning how to remedy defects. (Possibly "Tell and Listen" in Maier's classification.)

- **High performer, high defensiveness**

  Great care is needed. Knows he or she is good but resents criticism. Direct criticism is likely to produce an aggressive response and be unproductive. Consider well how important the weakness is before deciding to mention it. Preferably concentrate on strengths and think of ways of encouraging the subordinate to mention difficulties. Maybe you can use one or other of his or her strengths in the interview to help recognize a weakness. (Possibly Problem Solving).

- **Low performer, high defensiveness**

  Among low performers, this is common. The staff member feels in a weak position and is anxious and defensive before coming into your room. There is much evidence to suggest that listing faults does not in any way motivate him or her to try to improve. More likely the subordinate will try to place the blame for poor performance on all sorts of factors outside - on the system, on you, on the way he or she has been trained, or not trained. Your aim should be to help to "internalize" the problem, i.e. to recognize it, and that he/she is part of it. This calls for much tactful patience, for recognition of the staff member’s strengths and for supportive behaviour throughout. (Possibly Problem-Solving or Tell and Listen).

- **Low performer, low defensiveness**

  This person will be willing to explore openly with you the reasons for poor performance. It is possible, however, that he or she may have a low opinion of his/her ability to do anything about this, and it may be necessary for you to try to build up confidence, perhaps by demonstrating the strengths he/she has, and your support in the efforts to improve. This applies particularly to a normally good performer who is having temporary difficulties. In the case of a persistently low performer, where there is evidence of failure to respond to your earlier efforts and there are no excusing circumstances, strong but constructive criticism may be your last resort. (Possibly Tell and Sell).

**Conclusion**

The purpose of the above is to help the manager to decide which approach to the Performance Appraisal Interview is likely to be most effective in terms of changes in the subordinate's behaviour. It is important that the manager thinks carefully about the approach before meeting the subordinate in the interview.

**2. THE PROBLEM-SOLVING PERFORMANCE APPRAISAL**

Performance appraisal is concerned with securing commitment to new work or improvements in the way work is currently performed.
The "Tell and Sell" and "Tell and Listen" styles can be used if you believe that you are, for example, well respected by your subordinate and he/she will quite happily do what you require because of his/her own inexperience. Where, however, you believe that commitment will not be readily forthcoming, or you want to discuss the situation in more depth, your style will need to reflect the circumstances. Your objectives are to conclude the performance appraisal interview with the subordinate accepting the need perhaps to perform differently and being committed to change after having had an opportunity to talk openly about problems and difficulties. The ability to create an "atmosphere" in which these objectives are achieved needs a little skill. This note looks at these skills and suggests how you might develop them.

1. A structure for the Performance Appraisal Interview

It is useful to have in mind some structure for the interview so that the discussion does not get out of control. A simple and certainly not unique structure is as follows, but you may wish to amend it to suit your own approach:

i) Review the appraisee’s performance in advance of the interview so that you are clear about your own agenda.

ii) Listen to what the appraisee has to say and agree what problems exist.

iii) Agree what is going to be done, when and by whom (plan of action).

iv) Record the interview on the appraisal form.

2. A Model for the Performance Appraisal Relationship

The basis of a performance review interview is a relationship between two people, the manager and subordinate. Each individual brings to the relationship his/her own peculiar characteristics and may see the interview process in a particular way. The relationship can be modelled as the diagram below.

* M = Manager, S = Subordinate

From the diagram, you will see that each person brings to the interview his or her own set of needs, values and feelings and that almost inevitably these are going to impact on the process of the interview. Here are some examples of what is meant by needs, values and feelings.
a) Needs. People have many psychological needs - they may need to be liked, to dominate, to have responsibility, to be recognized, to be rewarded, etc. As a manager, your job in the performance appraisal interview is twofold. First, to be clear what your needs are and that those which you attempt to satisfy during the interview are appropriate. For example, you will obviously reflect organization needs, as a manager, which are one proper purpose of the interview. But to satisfy your own needs by demonstrating just how clever you are may be very tempting but totally inappropriate if you wish your subordinate to make a worthwhile contribution.

Secondly, you will be trying to satisfy your subordinate’s needs by, for example, letting him/her know how he or she is performing or encouraging the appraisee to contribute personal views to the discussion.

b) Values. Values are the beliefs that you hold, and can almost subconsciously pre-determine your behaviour in the interview. Examples of some values are:

- Authoritarian: a managerial instruction should not be questioned.
- Sexist: women managers are not as good as men.
- Behavioural: if people do not perform well, dismiss them. This will demonstrate to others what will happen and ensure we get the performance we require.
- Trusting: people can be trusted to put in a full day’s work without the necessity for close supervision.

c) Feelings. Feelings do not really need to be defined, but they can seriously contaminate the interview. Most subordinates when having their performance appraised naturally feel a little anxious; some may feel positively hostile. If you sense such feelings it may be worth testing whether your perceptions are accurate, and if so, discussing the reasons for such feelings there and then. Unless you do this, you may find the interview becoming rather false and difficult.

Finally to the perceptions of the interview. It is a good start to check with the subordinate whether you both see the performance appraisal interview in the same way. Get agreement from the start on what the interview is for and how you will conduct it. The general message of this note so far is that the quality of the relationship between both parties is an essential feature for an effective performance appraisal interview. The quality can be marred by insensitivity to your and the subordinate’s needs, values and feelings. The question now arises as to how you can develop your skills to reduce potential insensitivities and enhance the quality of the relationship.

3. Enhancing the Relationship

Kikoški and Literer have identified four dimensions for a successful performance appraisal. In essence these are as follows:

- The manager and subordinate must have a genuine dialogue at the rational level.
- The manager and subordinate should also be able to discuss quite openly their feelings at the emotional level.
Annex 7 - Staff Development

page 6

The manager should be consciously and explicitly aware of the impact of what is being done and said during the interview.

If the subordinate is required to change in some way or another, the relationship between the parties should be trusting and supportive.

From these dimensions, they then deduced what skills the manager needs in order to ensure that the interview is successful. These skills are set out below in terms of "do's" and "do not's".

i) Attending skills

**Do**

- Sit forward, slightly leaning towards the other person; this will demonstrate your interest.
- Try to maintain eye contact.
- Speak warmly and naturally.
- Use "encouragers" such as head nods, "yes, go on" and occasionally repeat key words used by the other person (e.g. "difficulties you have found".
- Stay on the topic.

**Do not**

- Sit back with your hands behind your head.
- Stare at the other person.
- Act as an amateur psychologist.
- Change the topic because it may embarrass you, or is critical of you.
- Stay on the topic.

ii) Feedback skills

**Do**

- Provide feedback that is clear and based on reliable information. If possible, describe your own and other people's reactions to particular behaviours of the subordinate.
- Illustrate your feedback with appropriate recent examples.
- Give feedback about which the other can do something.
- Try to check whether the other person has understood the feedback.

**Do not**

- Make judgements when giving feedback; it is likely to arouse defensiveness. Instead, as mentioned above, describe your reactions.
- Recall a great deal of past history to prove your point.
- Satisfy your needs by "punishing" the other with feedback.

iii) Paraphrasing

Paraphrasing is "playing back" to the other, using your own words, what you believe has been said. Its value is in ensuring what you are absolutely clear about the views of the other.
Do

- Paraphrase, particularly when you are uncertain as to what the other is trying to say.
- Use paraphrasing to link together the views of the other person.
- Check whether your paraphrasing is accurate by asking the appraisee.

Do not

- Deliberately distort the other's view by saying "What you really mean is ..."
- Paraphrase word for word like a parrot.
- Reach conclusions without paraphrasing first.

iv) Reflections of Feelings

As you will note, paraphrasing deals with the rational level of communication. Reflection of feelings is aimed at revealing the emotional content when this appears to be inhibiting useful dialogue. Research suggests that the more open individuals are about their feelings, the more valuable to both of them is the communication and the relationship.

Do

- Reflect feelings by beginning with the pronoun "you" or the person's name (e.g. it seems that you may feel...) and then express the emotion you detect (e.g. frustration, anxiety, hurt pride, etc.).
- Check whether your diagnosis is correct (Am I right?).

Do not

- Explain the other's feelings.
- Interpret the other's feelings.
- Deny the other's feelings.

v) Open and Closed Questions

Open questions are aimed to encourage the other to clarify or amplify some point or another in his own words. Closed questions invite brief responses confirming or denying specific points with a "yes" or "no".

Do

- Use open and closed questions appropriately.
- Seek information that is relevant to what is being discussed.
- Use questions to offer new alternatives ("Have you considered A-B-C-D, etc.?")

Do not

- Use leading questions which merely seek a confirmatory response in line with your own solution (would not A be the best idea?).
- Use questions as if the interview were a constant interrogation; share some of your own views and feelings.
- Deny the other's feelings.
vi) Focusing

Focusing is an aid to the manager in attempting to get to the root of a problem, complaint or grievance. Rather than set out a "do's" and "do not's" for this, let us illustrate what is meant by an example. To begin with there are five focus areas:

- Person
- Problem
- Other
- Context
- Self

Suppose you are meeting some resistance from a medical officer to the introduction of a drug control system. You wish to find out what the focus for the resistance is:

You begin with the person focus:

"Doctor, you appear to be very irritated by the idea of the system".

Secondly you might try the problem focus:

"Doctor, could you tell me why you object so much to the new control system".

Thirdly the other focus:

"Doctor, perhaps you could tell me how your colleagues are reacting to the idea".

Fourthly the context focus:

"Doctor, it is important for the sound financial management of the drug budget that we have a better system. Are you aware of this?"

Fifthly the self focus:

"Doctor, maybe I have said or done something which has made you feel so hostile to the new system?"

By developing these skills, the manager will be able to build a relationship with subordinates that allows for open discussion. Although many managers probably believe they possess such skills already, it is often an eye-opening experience to get a third party to ask the subordinate whether they believe their manager actually does possess these skills.

4. Conclusion

A successful performance appraisal interview is:

i) carefully prepared;
ii) dependent upon a manager who understands relationships with subordinates;
iii) the result of hard work by a manager skilled in interpersonal relations.
Exercise 7.1 - Problems in Staff Development

1. **AIM**

   The aim of this exercise is to consider what is currently being done to develop staff in your health organization and identify whether there are any problems in this area.

2. **STRUCTURE**

   The exercise is completed in groups of 6 or 7, preferably from the same or similar organizations.

3. **TASK**

   Each group should consider the following question:

   "What, in our organization, is currently done to develop staff; what are the problems in this and what improvements can be made?"

4. **TIMING**

   45 minutes are allowed for the discussion. At the end of this time a rapporteur should be prepared to report back to the whole workshop on the conclusions of the group.
STAFF DEVELOPMENT
Exercise 7.2

Exercise 7.2 - Planning for Management Development

1. AIM

The aim of this exercise is to give participants an opportunity to consider what should be the main features of a management development policy suitable for their organization(s).

2. TASK

The exercise is undertaken in groups of 6 or 7, as far as possible from the same or similar organizations. In the light of the preceding text "Towards a Policy for Management Development" and your own experience and knowledge of what would be beneficial and feasible, each group should address itself to the following tasks:

i) What should be the main features of a management development policy suitable for our organization(s)?

ii) Who should have responsibility for its implementation?

3. TIMING

One and a quarter hours are allowed for this discussion, at the end of which a rapporteur from each group should be prepared to report back on their findings.
Exercise 7.3 - Identifying Training Needs

1. **AIM**

   The aim of this exercise is to give participants an opportunity to think about future training requirements.

2. **STRUCTURE**

   The exercise is undertaken in groups of 6 or 7, preferably from the same or similar organizations.

3. **TASK**

   Each group should undertake the following task:

   "What changes can we anticipate which might arise from technological, social, economic or political factors which will affect our staff in some way? To what extent will it be necessary to train staff to cope with these changes?"

4. **TIMING**

   45 minutes are allowed for the discussion. A rapporteur should be chosen from each group to report back on their conclusions.
Exercise 7.4 - Setting Objectives and Standards

1. AIM

The aim of this exercise is to give participants an opportunity to set objectives and performance standards for their own jobs, and to help another person do the same for his job.

2. STRUCTURE

The exercise is done in "consulting" pairs with each participant taking it in turns to be the consultant to the other.

3. TASK

Outline your job to your "consultant" and together identify no more than two objectives which are significant for your job.

Having done this, try to set down some performance standards (one per objective) against which you would agree to have your performance assessed.

It is worth noting that you may have to set up some new information systems so that you can quantify your achievement.

Then reverse the roles so that the other one of you becomes the consultant.

4. TIMING

The exercise will conclude after 45 minutes, at the end of which participants should be prepared to share their objectives and standards with the whole workshop.
EVALUATION QUESTIONNAIRE

Please circle the appropriate figure according to the following ratings:

0 = not at all
1 = to a limited extent
2 = to a considerable extent
3 = extremely

I. GENERAL REACTIONS

Did you find the material:

Interesting
Potentially interesting
Well prepared

and the training workshop

Well conducted
Well organized

Please write any explanatory comments here:
II. SPECIFIC REACTIONS

HOW HELPFUL/USEFUL DID YOU FIND:

The first section (Parts A & B):

- Conceptual Basis
  - 0
  - 1
  - 2
  - 3

- Further reading
  - 0
  - 1
  - 2
  - 3

- Exercises
  - 0
  - 1
  - 2
  - 3

- Overheads
  - 0
  - 1
  - 2
  - 3

- Your work in groups
  - 0
  - 1
  - 2
  - 3

- The plenary discussions
  - 0
  - 1
  - 2
  - 3

- The tutorial contribution of the workshop
  - 0
  - 1
  - 2
  - 3

- The administration of the workshop
  - 0
  - 1
  - 2
  - 3

Please write any explanatory comments here:
III. YOUR LEARNING

How well have you achieved the module’s learning objectives:

shared a general understanding of the nature and purposes of management in organizational life

understood better the functions of HRM as part of the process of human resources development

understood the significance of improved HRM for achieving HFA in the light of your potential contribution to that goal

become familiar with the scope of the Manual and its purposes

Is there any way in which your learning could have been increased during the workshop? (please write here)
IV. Please list which sections of the Manual you found most relevant to your current position (state position).

V. Your expectations of the Training Manual.

Please summarize in your own words what you are hoping to gain, for yourself and the organization, from using one or more of the sections which comprise the Manual. Be as specific as you can.

VI. Do you have any further comments, criticisms or suggestions that would assist in the improvement of future workshops of this kind? (Please write here)

THANK YOU VERY MUCH FOR COMPLETING THIS QUESTIONNAIRE
YOUR REPLIES WILL BE HELPFUL AND TREATED IN STRICT CONFIDENCE
ANY SUMMARY OF PARTICIPANTS’ REPLIES WILL INCLUDE NO NAMES