

PEOPLE THAT
DELIVER



**STANDARD HUMAN RESOURCES
POLICIES PACKAGE FOR
HEALTH SUPPLY CHAIN ORGANISATIONS**

February 2021

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Acronyms

CMST	Central Medical Stores Trust
EEO	Equal employment opportunity
EPSA	Ethiopian Pharmaceuticals Supply Agency
GHSC-PSM	Global Health Supply Chain Program-Procurement and Supply Management
HR	Human resources
HR4SCM ToC	The Human Resources for Supply Chain Management Theory of Change
HRM	Human resource management
HSCM	Health supply chain management
HTSS	Health technical support services
HIV/AIDS	Human immunodeficiency virus, acquired immunodeficiency syndrome
JSI	John Snow Incorporated
KEMSA	Kenya Medical Supplies Authority
KPI	Key performance indicator
KRA	Key result area
LMIS	Logistics management information system
MLM	Mid-Level managers
MOH	Ministry of Health
MOU	Memorandum of understanding
NMS	National Medical Stores
NMSF	National Medical Supplies Fund
PBI	Performance based incentives
PIP	Performance improvement plan
PSA	Pamela Steele and Associates
PtD	People that Deliver
SAPICS	South African Production and Inventory Control Society
SC	Supply chain
SCM	Supply chain management
SHRM	Society of Human Resource Management
SMART	Specific, measurable, attainable, relevant, time bound
TGF	The Global Fund to Fight AIDS, Tuberculosis and Malaria
UNICEF	United Nations Children Fund
USAID	United States Agency for International Development
WHO	World Health Organization

Glossary

Applicant: any job seeker who submits an application.

Basic salary: a fixed amount of money payable for work performed and at regular intervals.

Candidate: an applicant who has been referred by a recruiter for consideration by a hiring officer for a specific job.

Coaching: a form of development in which a person called a coach supports a learner or client in achieving a specific personal or professional goal by providing training and guidance. It is a training approach that seeks to achieve continuous improvement in performance through motivation, modelling, practice, constructive feedback, and the gradual transfer of skills and complementary attitudes.

Competency model: a model to identify the competencies needed to perform a specific task in a job, organisation, or profession; refers to a group of competencies required in a specific job.

Competency: knowledge, skills, and abilities, or a set of defined behaviours, required to perform a specific task or function; providing a structured guide that can be used to identify, evaluate, and develop the desired behaviours in individual employees.

Employee engagement: the emotional commitment employees feel towards their organisation and the actions they take to ensure the organisation's success.

Employee retention: organisational policies and practices that meet the diverse needs of employees and create an environment that encourages employees to remain.

Grievance: the dissatisfaction or feeling of injustice on the part of the employee in connection with their work situation or management decisions.

Gross salary: the aggregate amount of salary and allowances prior to any type of mandatory deductions.

Human resources (HR): the function dealing with the management of people employed within an organisation.

HINARI: programme set up by WHO together with major publishers, enables low- and middle- income countries to gain access to one of the world's largest collections of biomedical and health literature.

Job description: a written description of a job that includes information about the general nature of the work to be performed, specific responsibilities and duties, and the employee characteristics required to perform the job. Knowledge, skills and abilities (KSAs): the attributes required to perform a job, usually shown by qualifying experience, education or training.

Key performance indicators: measures defined by a business/organisation that allow for the observation of actual values as they emerge from business applications and their comparison with established targets.

Leave: a recognised and authorised period of absence from duty.

Mentoring: a relationship in which a more experienced or more knowledgeable person helps to guide a less experienced or less knowledgeable person. The mentor may be older or younger than the person being mentored, but he or she must have a certain area of expertise. It is also a multi-faceted; it can be formal or informal and may change and evolve as the needs of the mentee change.

Net salary: the take home salary that an employee receives after all statutory and other deductions are made, as required by the law of the country.

Discrimination: any sort of direct or indirect favouritism for or against a candidate or employee based on religion, ethnicity, tribe, sex, marital status race, colour, sexual orientation, gender identity or expression, age, disability, citizenship, national origin, genetic information, or any other characteristic protected by law.

Parental leave: a type of leave granted to female employees (maternity leave) before and after delivery and to male employees (paternity leave) to take care of the new-born child.

Pension/retirement: attainment of mandatory/maximum age for work as dictated by law.

Performance based incentives: the process of introducing financial incentives to reward the attainment of results.

Performance review: the overall assessment of employees by supervisors against set objectives.

Promotion: movement of employees to a higher position or rank with change in grade and salary.

Recruitment: using a variety of methods to solicit and actively seek applicants to fill recently vacated or newly created jobs. These could include internal job postings, advertising in newspapers or electronic job boards/sites, search firms or job listings with trade and professional associations.

Redundancy/abolishment of position: when the position of an employee is not needed due to change in structure of the organisation.

Resignation: separation of employees from an organisation upon their initiation.

Retention: the phenomenon where employees choose to stay in organisations for a long period of time.

Rotation: temporary movement of employees from one work area to another to acquire knowledge and skills.

Salary: a fixed regular payment agreed upon in an employment contract.

Salary reviews: assessment of employees' pay and deciding whether to increase their salary.

Salary structure: a hierarchal group of jobs and salary ranges within an organisation. Salary structures often are expressed as pay grades or job grades that reflect the value of a job in the external market and/or the internal value to an organisation.

Selection process: any step, combination of steps, or procedures used for any employment decision, including, but not limited to, informal or casual interviews; unscored application forms; paper-and-pencil tests; performance tests; training programmes; probationary periods; and physical, education and work experience requirements. These include the decision-making process used to determine whether to hire or promote.

SMART objectives: specific, measurable, achievable, relevant and time bound objectives used during planning.

Transfer: permanent movement of employees from one position or work unit to another without change in grade or salary.

Turnover: separation/attrition of employees from organisations.

INTRODUCTION

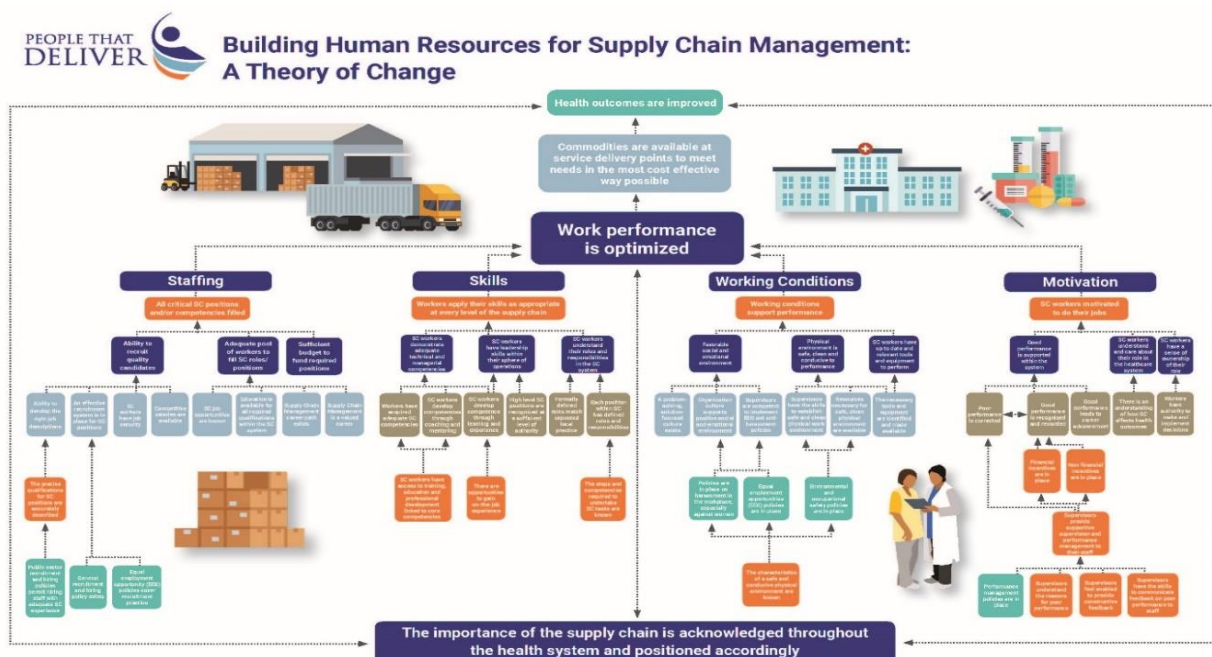
I. Background

People that Deliver (PtD) is a coalition of countries and global health stakeholders that seeks to improve health outcomes by developing sustainable excellence among the health workforce for supply chain management and overcoming health supply challenges.

The Building Human Resources for Supply Chain Management Theory of Change (HR4SCM ToC) provides a useful basis for strategic planning, by providing a foundation for developing strategies to manage the quantity, type, and capacity of human resources required to operate health supply chains. The HR4SCM TOC analyses the conditions needed to ensure that workers at every level are performing optimally, in order to fulfil all the necessary functions of an effective SC system.

This standard Human Resources (HR) Policies package for health supply chain management (HSCM) organisations in the public sector was developed based on the four pathways of the PtD Human Resources for Supply Chain Management Theory of Change (HR4SCM ToC) and best practices of HSCM organisations in middle-and low-income countries. The HR4SCM ToC is summarised in the figure below.

<https://peoplethatdeliver.org/ptd/resources/building-human-resources-supply-chain->



management-theory-change

The package provides background information, definitions, organisational policies, procedures, overall applicability and overall guidance for each section of the HR policies

for supply chain management organisations. This standard is meant to be used as either a guideline for health supply chain organisations that do not yet have a HR policy manual or that do and wish to update and ensure that it contains best practices. Therefore, this document shall be used as a reference tool when developing, revising or updating HR policy manuals.

The countries and supply chain organisations that have been engaged in this exercise are National Medical Supplies Fund (NMSF) in Sudan, Central Medical Stores Trust (CMST) in Malawi, Health Technical Support Services (HTSS) in Malawi, Ministry of Health (MOH) in Ghana, National Medical Stores (NMS) in Uganda and Ethiopian Pharmaceuticals Supply Agency (EPSA).

II. Purpose of the standard HR policies package

Based on the interviews conducted with HSCM organisations, currently, health supply chain organisations in countries do not have a standard HR policy package that has been vetted by HSCM organisations to which they can refer to when developing or updating their existing HR policies and procedures. Hence, PtD in collaboration with the Global Fund to Fight AIDS, Tuberculosis and Malaria (TGF) has developed this policies package to support these organisations in developing or adapting their HR policy manuals.

The purpose of this package is to set standard policies and practices to ensure fairness and equity, attract and retain a qualified and committed supply chain workforce and to clearly show the rights and responsibilities of the health supply chain workforce. The underlying assumption is that HSCM organisations comply with their local civil service protocols and/or labour legislations.

III. Instructions for using the standard HR policies package

This package is to be used by HSCM organisations in middle- and low-income countries that wish to develop new or revise existing HR policy and procedure manuals.

Each section of this standard policy document has been proposed by PtD, however there are internal/government legislations that organisations in different countries abide by.

This document uses '**organisation**' to refer to any health supply chain organisation in middle- and low-level-income countries. Hence, the policies that are listed here do not refer to any specific organisation, but organisations may wish to adapt these policies to their context in line with their country's laws.

Each section of the policy will have the following sub sections:

- General
- Policy statement
- Procedures (as applicable)
- Applicability

IV. Introductory contents

HR policies shall include the following introductory contents for each policy document:

- Introduction: This sub-section states the organisation's history, establishment, overall objectives and a highlight about the sections that follow; and
- Mission, Vision, Values and Guiding Principles

V. Purpose of the standard HR policies package

- To be a working document used as a first source of information;
- To provide supply chain supervisors with clear guidance on the HR for supply chain (SC) policies and procedures;
- To provide a means of introducing new SC employees to the ways of working and values of the organisation and to ensure that all SC employees and managers understand their rights and responsibilities;
- To ensure that all HR matters are dealt with in a fair, equitable, consistent and transparent manner; and
- To ensure compliance with the applicable laws of the country.

VI. Issuing authority and amendments

This section describes that the manual is approved and issued by the issuing authority. The organisation reserves the right to review the manual regularly and update when necessary. Any and all updates to the manual will be approved by insert [the approving authority] and dated with insert [the effective date]. All SC staff within the organisation shall be notified by email/memo about the changes and provided within the updated manuals. The document may be amended as needed and the authority to amend is the insert [amending authority]. Insert [The issuing authority] is authorised to make the final decision in the event of a contradiction between this manual and any other document.

VII. Distribution of the HR policy manual

The policy documents shall be distributed to all SC staff upon commencement of employment and to existing SC staff. All SC staff should sign to acknowledge receipt of the policy documents, and confirm that they have read, understood and agreed to all the policies.

VIII. Documents to be consulted in developing the HR policy

The following documents are necessary whenever SC organisations need to develop a new HR policy manual or revise their existing HR policy manual.

- Strategy documents of the SC organisations
 - Corporate strategy
 - HR strategy

- Legal and regulatory framework
 - Country's applicable labour law/civil service protocols
 - Taxation law
- National policies of similar SC organisations
- Other operational policy documents of the organisation
- Standard policies of SC Organisations

This package has twelve sections and sub-sections. The list of policies is not exhaustive because there are specific policies that apply only to some organisations or countries.

Linkages of HR policies and the "FOUR PATHWAYS" of PtD's HR4SCM Theory of Change

Pathway I: Staffing

- Recruitment and hiring policies
- Orientation and induction policy
- Equal employment opportunities policy

Pathway II: Skills

- Learning and development policy

Pathway III: Working conditions

- Disciplinary and grievance policy
- Termination policy
- Employee code of conduct
- Anti-harassment and anti-discrimination policy
- Anti-corruption and whistle blowing policy
- Environmental and occupational safety policy

Pathway IV: Motivation

- Supportive supervision and performance management policy
- Engagement and retention policy
- Compensation, benefits and allowance policies
- Reward and recognition policy
- Job rotation policy
- Transfer and promotion policy

1

RECRUITMENT AND HIRING POLICY

SECTION ONE: RECRUITMENT AND HIRING POLICY

General

This policy seeks to provide information about how Health Supply Chain (HSC) organisations can attract new talent by following transparent, rigorous and competitive selection processes.

An effective supply chain engages the right people, in the right quantities, with the right skills, in the right place, at the right time and pays them the right salaries.

Recruitment and the hiring process are part of the *Staffing* pathway in PtD's Human Resources for Supply Chain Management Theory of Change.

1.1 Policy statement

The recruitment and hiring policy of HSC organisations is intended to attract the right talent with the right skill sets. The most important consideration in hiring shall be their competency and suitability for the position. Recruitment of SC employees shall be on a competitive basis.

The recruitment and hiring policy helps put in place fair and transparent hiring processes that protect people from any discrimination or interference in employment by reasons of sex, race, creed, colour, nationality, religion, gender, disability, or by a reason of membership to a recognised institution.

Applicability

This policy is applicable to all regular and temporary SC employees that go through the recruitment and selection processes.

Types of employment

Supply chain organisations may have different categories of employment depending on their context. This section provides the common types of employment and their definitions, which may be adopted as needed.

1. **Full time regular employment** is a type of employment whereby SC employees are hired to work during the organisation's standard working hours on a regular basis.
2. **Part-time regular employment** is a type of employment in which SC employees are hired to work fewer than the standard working hours or fewer working days during the week or month. This category of SC staff is eligible for benefits in accordance with the country's law or as mandated by the organisation.
3. **Temporary/contract employment** is a type of employment in which SC employees are hired for a definite period of time with pre-defined start and end dates. The purpose of hiring such categories of SC employees is to meet short-term needs of the organisation owing to the absence of an incumbent. The maximum period of

temporary employment may be determined by SC organisations in accordance with their internal policy or country's law.

4. **Employment of consultants:** Consultants are independent contractors who are engaged for a period of time to provide services on a specific assignment with definite terms of reference.
5. **Employment of interns/volunteers:** Interns or volunteers are not staff of the organisation and are not governed by the organisation's human resources policy and procedures, rather they are governed by the internship or volunteers' conditions of employment.
 - a. **Internship** is an arrangement that the organisation provides for students or recent graduates with little or no experience to provide services for the purpose of acquiring experience. This is done through practical assignments and exposure to the work of the organisation on a remunerated or non-remunerated basis.
 - b. **Volunteerism** is an arrangement whereby experienced individuals provide services in their area of expertise on a non-remunerated basis.

The duration of their service shall be determined by the HSCM organisation's policy on internship or volunteerism. In Uganda, for instance, the National Medical Stores (NMS) has a policy stipulating that interns work for a maximum of two months.

6. **Secondment:** this an agreement between two organisations (receiving and releasing organisation) to deploy professionals or participating individuals for a certain period of time to support in a selected area of activity of the receiving organisation.

"Secondments represent a "triple win" – for local stakeholders, private companies and the participating individual. Receiving institutions gain access to new training, knowledge, resources and best practices from the releasing institution. In many cases, a secondment programme provides an opportunity for private sector companies to support global communities and develop enhanced solutions to global challenges through better understanding of the local environment, including localised challenges and limitations. However there are also cases where secondees have come from ministries of health or government procurement and supply agencies. For individual participants (secondees) it provides an opportunity to gain valuable career experience, exposure to global markets and a stimulating challenge for personal development." For example, the National Medical Supplies Fund (NMSF) in Sudan uses secondments with relevant ministries and other agencies in the country to support NMSF programme activities.

Supply chain workforce planning

Workforce planning in health supply chain organisations is the first stage prior to any recruitment and hiring activity whereby the supply and demand of the SC workforce are forecasted and translated to a human resources plan of the organisation for a given

budget period. It should be the policy of HSCM organisations to know their current workforce or draw their future workforce plans at the beginning of the budget year so that the current human resources requirements are assessed and the actual requirements are determined in detail. Workforce planning shall clearly identify the following:

1. Number and type of positions required
2. Reasons for establishment of positions (replacement/additional need)
3. Type of employment
4. Sources and methods of filling the position
5. Costs of all positions

Workforce planning is a joint responsibility of SC departments, management teams and administration/human resources departments. The human resources department of the organisation is responsible for compiling the workforce plan and implement it accordingly in consultation with the responsible departments.

1.2 Recruitment and hiring procedures

A standard recruitment and hiring process is captured in the following six steps:

Step 1—Plan recruitment

Formation of selection panel/committee

An ad-hoc or a permanent selection panel/committee is formed at the beginning of each selection process by the responsible authorities in the HSCM organisations. The panel shall comprise representatives of the human resources department (recruiter) and hiring department among other panel members. The role of the selection panel/committee starts from the shortlisting to the final selection and recommendation of the best candidate. The specific duties and responsibilities of the selection panel are as follows:

1. Planning the selection process
2. Defining selection criteria for shortlisting and developing evaluation matrix
3. Developing the interview and written test questions
4. Reviewing the applications of candidates
5. Conducting competency-based interviews and scoring based on competencies sought
6. Recommending best candidate for endorsement by the approving authority

Step 2—Develop recruitment materials

Creation/revision of competency-based job/position descriptions

This sub-section states the need to develop/revise a competency-based position/job description for each position as part of the planning for recruitment and selection process. Every position, new or existing, needs an updated position/job description that outlines the roles and responsibilities that are expected to be fulfilled by SC employees.

A job description provides clear guidance on the expectations for the job seekers, amongst other documents, and promotes a transparent recruitment system. The job description of SC roles based on standard PtD job descriptions shall specify job details (job title, reporting relationships, purpose of the position, general key responsibilities, qualifications and experience required, skills and knowledge required). SCM organisations shall also apply SCM competency requirements and career pathways in their job description. Refer to the PtD collection of supply chain roles and job descriptions for a comprehensive catalogue of HSC job descriptions that can be adapted to fit an organisation's needs.

Requisition

Once an updated position/job description is available, the hiring department places a requisition to fill vacant positions or newly created positions in line with the workforce plan of the organisation drawn at the beginning of the budget year. The requisition should confirm that the position is open and there is adequate budget available to cover the salary and other costs for the position.

Interview guide and selection criteria

The selection panel/committee develops an interview guide and selection criteria based on the specific job requirements.

Step 3—Advertise position

Vacancy announcement

After the requisition is received and validated by the responsible human resources department the next step in the recruitment process is to advertise the vacant position. The vacancy announcements could be internal, external or internal/external based on the request of the hiring managers.

Vacancy announcements shall be made in print media, the organisation's notice board/website, online media, social media and with recruitment agencies or individual head-hunters, where appropriate. The decision for selecting the appropriate medium shall be at the discretion of the department responsible for advertising the positions, in most cases the human resources department in consultation with the hiring department and in line with the organisation's approved media. The main components of the vacancy announcement are listed below, although organisations may add other information as necessary depending on the medium to be used.

- a) Organisational context/background and general information about the organisation
- b) Position summary
- c) Brief description of roles and responsibilities
- d) Key result areas
- e) Essential (minimum) and desirable requirements in terms of professional qualifications, experience, competency and skills
- f) Place of work/duty station
- g) Mode and duration of employment

- h) Grade level and remuneration range
- i) Application procedures
- j) Closing date for application
- k) Clauses such as EEO (optional)

Sources of recruitment

Internal sources: These are SC employees of the organisation who shall meet the position requirements and may be interested in competing for the vacant positions of the organisation. Organisations should encourage this source to help advance SC employees' careers and motivate them to grow within their organisations whenever there is an opportunity. In a filling such positions, the selection process takes the form of a lateral transfer or promotion. Vacancies in such cases may be advertised as internal.

External sources: Supply chain organisations may also seek qualified and experienced applicants from the labour market when there are no or few internal sources to fully meet the position requirements or when the SC organisations need to bring new talent with new skills and knowledge. External sources also increase chances of finding well experienced and qualified candidates. In such cases, the vacancies are advertised as both internal and external.

Step 4—Manage and screen candidates

Preliminary screening/longlisting

After the closing date of the applications, the human resources department collects Curriculum Vitae (CVs) and prepares a longlist of applicants. This is a process of screening applications based on the minimum requirements posted in the vacancy announcement. In cases of online media advertising methods, the online system helps to perform the preliminary screening. The human resources department is responsible for long listing the applications prior to forwarding to the selection committee for further review and shortlisting.

Shortlisting

After the human resources department sends the longlist, the selection panel/committee thoroughly reviews the applications and short lists in accordance with the requirements and selection criteria set by the selection committee and forwards them to the HR department for subsequent actions. The minimum and maximum number of shortlists may be determined by the organisation or the selection committee.

Shortlisting for short term employment could be performed in two ways depending on the type of employment.

- The organisation may set up an ad-hoc selection panel/committee; and

- The hiring manager or designate may also compile a shortlist while maintaining transparency, fairness and consistency in line with the policy of the HSCM organisation.

Step 5—Interview and candidate selection

In any selection process the human resources department or representative facilitates the selection process in collaboration and consultation with the hiring department, as the selection process is a joint responsibility. The hiring department should play the lead role in the selection process.

Once the shortlist is approved by the responsible authority, the next task is to invite shortlisted candidates to conduct assessments. The assessments may comprise one or more of the following assessment tools depending on factors such as business needs, nature of the position and duration of employment. Organisations may also use additional techniques to assess candidates.

- **Technical test – written/practical**

Written tests are conducted to assess a candidate’s knowledge, skills and abilities.

Some positions require practical tests to assess the technical skills and knowledge of candidates. However, this is not always mandatory for all positions. For example, a *supplies assistant* position requires a practical test to assess a candidate’s skill in supply management. The test could be administered by testing institutions or an outsourced firm. For instance, In EPSA in Ethiopia, written/technical tests are administered by Addis Ababa University.

In addition to the above, Psychometric tests or aptitude tests are applied to assess the candidates’ cognitive ability and determine suitability for the roles.

- **Competency-based interviews**

After the technical tests are conducted, oral interviews to assess candidates’ competencies should be conducted on the assumption that the HSCM organisation has its own competency framework. Competencies are knowledge, skills and other attributes that are required to perform a given task. In competency-based interviews, candidates are assessed based on their previous work experience as it gives better results in assessing the candidates’ suitability for the job. Please refer to the PtD library of competencies and designations for health supply chains for a list of supply chain competencies.

- **Assessment centres**

Organisations may opt for running assessment centres to integrate the technical tests, interviews and additional series of activities to assess candidates. Though it takes more time and requires logistical arrangements, assessment centres bring about better results in terms of identifying the best candidate.

Conducting reference checks

Reference checks are conducted to verify a candidates' information provided upon submission of the application and during interviews. It is an important step in the selection process to minimise risks when assessing the suitability of the selected candidate. Where possible and practical, all references must be professional. Reference checks must be documented and kept confidential.

In most cases three references are contacted, however it is the SCM organisation's decision to determine the number of references to be checked. For example, in the case of NMSF Sudan at least three references are contacted.

In addition to the reference checks, background checks are also conducted as in the case of NMS Uganda: these are conducted within the first six months of employment.

Step 6—Extend and confirm offer

Reporting on selection process

The human resources department is responsible for documenting the selection process once the best candidate is identified and reference checks are conducted. The report is prepared and signed by all members of the selection panel/committee and is approved by the approving authority prior to issuing an offer letter to the selected candidate.

The selection committee may also establish a waiting list if the committee believes that there is more than one suitable candidate for the position. The details about the waiting list should be incorporated in the report.

Issuance of offer letter and employment contracts

After the selection report is approved, an offer letter is issued to the selected candidate to request acceptance of the offer, citing what has been stated in the vacancy announcement. If the selected candidate accepts the offer, pre-employment requirements should be fulfilled prior to issuing the employment contract.

Pre - employment requirements that HSCM organisations may include the following

- Medical examination
- Verification of education and experiences (as applicable)
- Submission of credentials/certificates (as applicable)
- Submission of release papers from previous employer (as applicable)

All copies of documents that have been submitted at the time of application will be checked and verified against the originals at this stage of the recruitment process.

Example: The Central Medical Stores Trust (CMST) in Malawi, NMSF Sudan and NMS Uganda require all new employees to undergo a medical examination as part of their pre-employment requirements prior to offering contracts.

Employment contracts

Employment contracts are issued in the working language of the organisation once the pre-employment requirements are fulfilled and documents are verified. This is a written

and binding document that is governed by the HR policies and procedures manual of the SCM organisation. Along with the employment contract, an updated job description may be issued.

The contract shall have the following information:

1. Position title
2. Position grade
3. Type of employment
4. Salary and allowances information (as applicable)
5. Benefits information (as applicable)
6. Start and end date of the contract (as applicable)
7. Start and end date of probation period (as applicable)

For further information refer to the USAID | DELIVER PROJECT Recruiting Supply Chain Professionals guide.

Rehiring of former employees

HSCM organisations may decide whether or not to have a policy to reinstate their former employees. However, it is important to investigate the specific provisions in the civil service protocol or labour law on the requirements of rehiring former employees. In addition, the past employment record of the former employee shall be checked.

Employment of relatives

Supply chain organisations may decide whether or not to have a policy to allow the employment of relatives of current employees. However, the policy of the conflict of interest may be respected if organisations decide to employ relatives of a current employee.

Minimum and maximum age

The minimum and maximum age of an employee is determined by the country's law. Supply chain organisations may also determine the minimum and maximum age for employment as long as they comply with the country's law.

2

ORIENTATION/INDUCTION POLICY

SECTION TWO: ORIENTATION/INDUCTION POLICY

General

Orientation is organised for all new SC employees to ensure that they are aware of the organisation's overall objectives. It is intended to minimise the turnover of new SC staff in their early days of employment. This is part of the *Skills* pathway in the PtD Human Resources for Supply Chain Management Theory of Change.

2.1 Policy statement

It should be the policy of the organisation to conduct an orientation session on the first few days of employment and provide the new employee(s) with a brief and general overview of the organisation, structure, mission, history, culture and major policies. By organising the orientation, the new employee will have the opportunity to be introduced to the job, working conditions, methods, duties and responsibilities and expected outcomes.

2.2 Procedures

The human resources department is responsible for facilitating the induction and orientation of all new SC staff by liaising with the hiring departments and all other relevant departments.

The human resources department develops and shares the employee handbook and policy documents to assist in the process of a systematic orientation and induction programme.

The human resources department also ensures that new employees complete the induction programme and submit a report.

The immediate supervisor shall also be given the time to orient the new staff to ensure that the employee is well informed about the position and the department. The supervisor should also agree performance objectives with the employee.

It is also the responsibility of the new employee to take part in the orientation and induction programme and acknowledge receipt of the employee handbook.

In order to further support the new employee, organisations may assign mentors or apply a buddy system where an experienced employee is assigned to the new employee to help in assimilating to the new environment and also give support in any queries that the new employee may have.

Applicability

All new employees in the HSCM organisations shall go through the orientation/induction programme.

2.3 Probation

Probation period is a pre-defined period of time at the beginning of employment to assess the new employee's performance and ensure that the new employee is suitable for the position.

The probation period may be determined in accordance with the human resources policy and procedures of the HSCM organisation or law of the country.

For instance, In Uganda, the probation period for NMS is six months.

By the end of the probation period, SC workers are expected to submit a report on the orientation/induction programmes along with their feedback. The performance of new SC workers is evaluated by their supervisors against the agreed objectives set at the beginning of the employment.

During the probation period, an employment contract may be terminated by the employee without notice. In addition, organisations may also terminate a new employee's contract without notice but with reasons as stipulated in the HR policy and procedures manuals of the organisation. The probationary period of management and non-management SC employees varies as defined by HSCM organisations' policy manual.

3

EQUAL EMPLOYMENT OPPORTUNITY POLICY

SECTION THREE: EQUAL EMPLOYMENT OPPORTUNITY POLICY

General

- Health supply chain organisations should commit to creating a workplace where all individuals are treated with respect and dignity. The purpose of this policy is therefore, to ensure that all SC employees can work in an environment where there is no discrimination on the basis of individuals' protected status.
- Health supply chain organisations may set out policies to ensure that all employees are familiar with the policies and are aware that any discrimination will result in disciplinary measures being taken.
- HSCM organisations should prohibit retaliation against any individual who reports any discrimination or participates in an investigation of such reports.
- This policy is part of the *Staffing* pathway in the People that Deliver Human Resources for Supply Chain Management Theory of Change (PtD HR4SCM ToC).

3.1 Policy statement

HSCM organisations should have a zero-tolerance policy not to discriminate SC employees or applicants of employment on the basis of age, race, colour, nationality, religion, gender, disability, marital status or any other category specified by law, including but not limited to recruitment, compensation, training and development, promotion and transfers, working condition, upgrading, downgrading, demotions, termination, layoff, benefits, social recreation programme, and all other terms of condition and privileges of employment.

Applicability

The policy applies to all current and prospective employees of the SC organisation.

3.2 Equal employment opportunity in HR functions

It should be the policy of SC organisation to ensure that any employment decision shall be based on the ability, experience, competency and experience without regard for race, colour, religion, gender, age, disability or ethnic origin. The policies of equal employment opportunities apply to the selection and treatment of individual consultants and other personnel working on the premises of the SC organisation and others doing business for or with the organisation.

It should be the policy of organisations to provide opportunities of learning and development without regard for race, colour, religion, gender, age, disability or ethnic origin. The nominations for limited opportunities shall be on merit based and other factors as applicable by the policies and procedures of the organisation.

Supply chain workers shall be given the opportunity to compete for any promotion and transfer opportunity whenever they are available. The promotion and transfer decision shall be based strictly on merit and achievements as per the transfer and promotion policy of the organisation without regard for race, colour, religion, gender, age, disability or ethnic origin.

HSCM organisations need to ensure that termination benefits are granted to separating SC staff in line with the termination policy and procedures of the organisation without regard for race, colour, religion, gender, age, disability or ethnic origin.

Equal employment opportunity for supply chain workers with HIV/AIDS

Supply chain workers are given equal employment opportunities in accordance with the applicable law, regardless of their HIV/AIDS status. Supply chain employees with HIV/AIDS should not be discriminated against for any opportunity on the basis of their HIV/AIDS status. Supply chain workers with HIV/AIDS are covered under normal company employee policies and benefits, including health and life insurance, disability benefits and others.

Equal employment opportunity and pandemics/epidemics

Organisations should not tolerate any form of harassment and should explicitly communicate to the workforce that fear of a pandemic/epidemic should not be misdirected against individuals because of a protected characteristic, including their national origin, race, or other prohibited bases.

It is the responsibility of organisations to advise supervisors and managers of their roles in watching for, stopping, reporting any harassment or other discrimination, reviewing any allegations of harassment or discrimination and taking appropriate action.

4

SUPPORTIVE SUPERVISION AND PERFORMANCE MANAGEMENT POLICY

SECTION FOUR: SUPPORTIVE SUPERVISION AND PERFORMANCE MANAGEMENT POLICY

General

The purpose of this policy is to help SC organisations achieve their organisational objectives by focusing on supportive supervision and creating a culture of performance management to improve both organisational and individual work performance.

This section is part of the *Motivation* pathway in the PtD HR4SCM ToC.

Supportive supervision is one of PtD's four pathways to improve performance. Supportive supervision is a process of helping staff to improve their own work performance continuously. It is carried out in a respectful and non-authoritarian way with a focus on using supervisory visits as an opportunity to improve the knowledge and skills of health staff.¹

There is no one best performance management system that suits all organisations. Organisations may deploy their own performance management system depending on the nature of their operations, business needs and organisational culture. However, when performance management is aimed at employee development, both organisational and individual objectives will be met.

When a performance management system is effective, there will be clear job responsibilities and expectations by both supervisors and employees. Moreover, SC employees and supervisors will be able to align organisational objectives with team and individual objectives. Effective performance management helps to positively impact SC performance and improve health outcomes.

Policy statement

Health supply chain management organisations should commit to creating a performance culture that promotes open communication between supervisors and employees with clear roles and expectations. Performance management enhances individual and team productivity thereby improving work performance to achieve organisational objectives. The performance management system of the organisation should align with the organisation's overall objectives and also with other organisational systems.

¹ World Health Organization, "Training for Middle level Managers (MLM) supportive supervision", Module 4, 2004,
< https://www.who.int/immunization/documents/MLM_module4.pdf >, accessed 15 June 2020.

4.1 Performance management process

The performance management process, according to the PtD's performance management framework, has four phases:

1. Plan
2. Monitor and review
3. Develop
4. Recognise

The next sections explain what each process entails in the performance management for SC organisations.

Phase 1. Plan

The first step in the performance management process is performance planning, which is conducted at the beginning of the performance year for existing SC employees or at the beginning of the employment period for newly-recruited SC employees. Performance planning entails work objective setting, competency planning and development planning. The performance planning shall be done jointly by employee and supervisor and a mutual agreement has to be reached on the planned objectives.

Inputs for performance planning

In order to conduct performance planning the following inputs are required:

- **Job descriptions:** an updated competency-based job description is required for objective setting as it is the source document to set individual objectives.
- **Competencies:** The competencies for achieving the set objective are identified and planned accordingly. This is on the assumption that the HSCM organisation has a competency framework that can be used for recruitment, performance management, staff development and other functions. Each job holder shall be required to meet the competencies of specific job requirements. *Please also refer the PtD's competency compendium for further reference.*
- **Development plans:** Just like the work objectives, development gaps are identified and planned for further improvement during the objective setting process.
- **Key performance Indicators (KPI) /key result area (KRA):** KPIs are measures defined by a business/organisation that allow for observation of actual values as they emerge from business applications and their comparison to established targets. KPI's exist for all supply chain functions: (1) goal level KPIs such as supply availability; (2) functional level KPIs addressing warehousing, transportation, order tracking, distribution, procurement; and (3) process level KPIs such as LMIS reporting rates. KPIs range from essential measures to more robust indicators that may require more sophisticated data availability and processes and must be

judiciously selected so that they are manageable and also provide the required insight.²

- **Objective setting (organisational, team and individual)**

Team/unit/department objectives derived from organisational objectives and department objectives are integrated into individual objectives. When setting performance objectives, it is a good practice that the objectives are SMART (specific, measurable, achievable, realistic and time bound).

Alignment with other HR systems

The alignment of performance management systems with other HR functions such as learning and development, recruitment, competency framework and position description development is very important because a performance management system by itself cannot be effective. For instance, learning and development plans should be identified and discussed when objectives are defined at the beginning of the performance planning process, and the same learning and development plan should be reflected in the training needs assessment.

Phase 2: Monitor and review

Ongoing dialogue is a continuous feedback process to review progress of the objectives set at the beginning of the performance period. In this process, supply chain supervisors and employees are expected to discuss the progress of the work objectives regularly and frequently prior to the final performance review period.

Supply chain supervisors are expected to give continuous, constructive or corrective feedback to their subordinates throughout the performance period. It also helps to check if employees are on track to meet their objectives and make the necessary adjustments in cases of underperformance. Even though the review is continuous throughout the performance period, a time should be set to formally discuss and document progress; this is usually considered a mid-term review.

Performance review

While most organisations require an annual performance review, sometimes referred to as a performance appraisal, to be done with all employees, effective people management is based on ongoing feedback, coaching and support throughout the year.³

² John Snow Inc, "The Supply Chain Manager's Handbook, A Practical guide to the management of health commodities", 2017, chapter 9, page 135, < <http://supplychainhandbook.jsi.com> >, accessed May 2020.

³ UNICEF, "Performance Management Toolkit for Immunization Supply Chain Managers", July 14, 2016, < <https://peoplethatdeliver.org/ptd/download/file/fid/666> > accessed May 2020).

Self-review

HSCM organisations should encourage their employees to assess themselves prior to the discussion with their supervisors. The self-assessment gives employees the opportunity to reflect on their performance and critically identify any setbacks.

Supervisor's review

At this stage of the review, SC supervisors assess the progress of objectives, and the development and competencies plan. Formal performance discussions between employees and supervisors should be held and both parties should agree on the final review.

360-degree feedback

Supply chain organisations may apply this method to gather feedback during the performance review. It helps the supervisor to assess the performance of an employee from the points of view of different stakeholders. The stakeholders could be peers, community groups, local health committees, traditional authorities, professional associations, councils and other networks. This is also a tool used by leaders as they too get feedback from their subordinates in addition to other employees.

This method is less prone to individual bias owing to the multiple perspectives given. However, the process is complex and time consuming. For large organisations 360-degree feedback processes allow for better performance results as they give broader perspectives about individual performance.

360-degree feedback process

360-degree feedback process is a participatory approach as it engages different groups of stakeholders. HSCM organisations may apply the following as a process if they wish to adopt this approach:

- **360-degree feedback tool** needs to be developed based on the competencies required by the position holder. It is important to make competencies as specific to the job as possible. For more information on the competencies, please refer to PtD's Library of Competencies and Designations for Health Supply Chains.
- **Supply chain supervisors identify individuals** (peers, internal and external clients, subordinates) who have direct working relationships with the staff member under review to help provide feedback. During the performance review period, supervisors send out the 360-degree feedback tool to the selected individuals. Supply chain organisations must ensure that feedback is given anonymously and confidentiality should be maintained while giving or receiving the feedback.

The maximum and minimum number of respondents shall be determined by the organisation's policy. However, the actual number and type of respondents shall be determined by supply chain supervisors depending on the nature of the position.

- The respondent completes the form and returns it to the supervisor to be added to the overall performance review of the SC staff.

Performance rating/ranking

Once the discussion on the final performance review is completed, supervisors should rate staff based on the rating standards of the organisation. Different approaches can be implemented to rate the performance of SC employees.

An example of an performance evaluation rating scale could be 1 to 5 from lowest to highest: 1: unsatisfactory, 2: partially satisfactory, 3: satisfactory, 4: highly satisfactory, 5: outstanding; or 1: Does not meet expectations, 2: partially meets expectations, 3: meets expectations, 4: exceeds expectations, 5: role model/outstanding).

Supply chain staff should be given the opportunity to read and agree/disagree with the performance review and rating at the end of the review.

Second level review

Different approaches are employed for the second level review.

Second level supervisors may review and approve the evaluations of the first level review or

a review team (comprising a second level supervisor, a representative from the human resources department and other staff who may have a working relationship with the employee) may review the evaluations of the first level supervisor for the final review. Supply chain employees should be given the opportunity to review the second level reviews and agree/disagree with the review.

However, if employees do not agree with the first level supervisor's evaluation, they may file an appeal in accordance with the organisation's appeal (rebuttal) procedures. The relevant department or team would then investigate and make a final decision in accordance with the policy and procedures of the HSCM organisation.

Period of performance cycle

Supply chain organisations may decide to repeat the performance process bi-annually or annually depending on the business needs of the organisation.

Documentation

As a second level review is the final stage of the performance management process, the signed performance documents should be sent to the human resources department and filed in the archives electronically or in hardcopy in line with the documentation system of the organisation. The performance review documents are legal documents which should be kept properly and in confidential folders. They should be used for any future human resource-related administrative action taken against SC employees and should be kept for a long period of time.

Performance improvement plan (PIP)

Under normal circumstances, SC workers will be performing at least satisfactorily but in cases of underperformance, supervisors must help SC workers to improve their performance. Supply chain workers and supervisors share the responsibility to identify underperformance and act upon it as early as possible. Supply chain supervisors have the responsibility to provide guidance, coaching and feedback to their employees.

A performance improvement plan (PIP) is created when employees underperform and could not meet the expectations of the organisation; it helps both the underperforming employee and supervisor create a better situation by addressing the underlying issues.

In most cases, the plan should contain information such as:

1. Areas where improvements are needed;
2. Reasons for underperformance;
3. Clear objectives for improvement;
4. Detailed action plan including development plan for the duration that staff are under a performance improvement plan; and
5. A plan to discuss progress and target dates to meet the set objectives.

The performance improvement plan should be created jointly by the supervisor and employee following an in-depth discussion.

Performance improvement plans should not necessarily be conducted at the end of the performance period. Based on ongoing feedback and progress towards set objectives, supervisors may initiate to set up a PIP at any time during the performance period.

If objectives are met within the PIP period, the employee gets back on track and continues to work on other objectives. However, if objectives are not fully met or improvements are not observed during the PIP, the organisation may take appropriate administrative action in line with the policies and procedures.

Roles and responsibilities

Performance management is the shared responsibility of SC employees, supervisors, human resources department and the HSCM organisations in general.

Responsibilities of supply chain employees

- Read and understand the performance management policy and procedures;
- Participate in training of performance management process; and
- Fulfil obligations in the process of the performance management process by collaborating with the human resources department, supervisors and other co-workers.

Responsibilities of supply chain supervisors

- Support in clarification of performance expectations of SC employees;
- Support SC employees in identifying their development needs and provide coaching; and

- Create an environment that encourages communication among all team members.

Responsibilities of the human resources departments

- Facilitate the performance management process at each stage of the process;
- Train new SC and existing SC employees on the performance management process;
- Ensure timeliness, accuracy and correctness of the performance reviews;
- Assist SC staff and supervisors in cases of disagreement of performance reviews; and
- Support in the development or revision of performance management policy and procedures.

Responsibilities of health supply chain management organisations

- Develop performance management policies and procedures;
- Ensure the creation of a performance culture within the organisation; and
- Take appropriate administrative action for corrective measures.

Performance evaluation of probationary and temporary SC employees

It is difficult to follow the standard performance cycle for temporary or probationary employees because the period of employment is shorter and may not tally with that of regular SC employees. Therefore, the performance management process of probationary SC employees starts at the beginning of their employment and finishes at the end of their probationary period. The same applies to temporary SC workers.

4.2 Supportive supervision

General:

Supportive supervision is the process of helping staff to improve their own work performance continuously. It is carried out in a respectful and non-authoritarian way with a focus on using supervisory visits as an opportunity to improve the knowledge and skills of staff. Supportive supervision encourages open, two-way communication, and team building approaches that facilitate problem-solving.⁴

Supportive supervision is also a process of guiding, monitoring and coaching workers to promote compliance with standards of practice, ensure the delivery of quality health services and support the professional development of those supervised.⁵

⁴ World Health Organization, "Training for mid-level managers", 2008, module 4, page 1, <https://www.who.int/immunization/documents/MLM_module4.pdf>, accessed June 2020.

⁵ UNICEF, "Interpersonal Communication for Immunization, Transforming Immunization Dialogue, Supportive Supervision, A Manual for Supervisors of Frontline Workers in Immunization", 2019, page 1, accessed June 2020.

Supervisory visits and one-to-one discussions are an opportunity to recognise good practices and motivate employees to enhance their performance. This is particularly important for SC employees based at the district or community level.

Having established performance standards and objectives through supportive supervision, organisations should regularly observe and monitor performance, recognise and reward positive performance, identify and correct problems and provide feedback to achieve improved health outcomes.

Supervisory visits are also an opportunity to recognise good practices and help SC workers maintain a high-level of performance.

The potential benefits of supportive supervision include the improved performance of SC workers and the health facility, the smooth running of health services, satisfaction of users of services, time saving for care givers and a feeling of involvement by care givers and communities.⁶

Applicability

Supply chain management supportive supervision is applicable to SC supervisors, SC implementing partners, and national, regional, or district health and/or SC managers. It is also applicable to supervisees who are frontline health workers, pharmacists and part of the SC workforce. The supervisee workplace or site includes public and private sector health facilities, hospitals, clinics, medical stores, pharmacies and other health sites in urban and rural locations.

Process to conduct supportive supervision

The following are the steps HSCM organisations may apply while conducting supportive supervision:

1. Setting up a supportive supervision system

Training a core of supportive supervisors: Supervisors should be trained with the following competencies in order to be able to conduct supportive supervision: data interpretation, problem identification, effective communication, promoting participation, problem solving, target setting, education, provision of constructive feedback and ensuring continuity. For more information on competencies please refer to PtD's Health Supply Chain Competency Framework for Managers & Leaders, and Competency Compendium for Health Supply Chain Management.

Right tools: In addition to training supervisors, it is important to have the right tools available to assist supervisors and to standardise the supervision system. These tools include: 1) supervisory checklist; 2) learning materials and job aids to be used by

⁶ UNICEF, "Interpersonal Communication for Immunization, Transforming Immunization Dialogue, Supportive Supervision, A Manual for Supervisors of Frontline Workers in Immunization", page 1, 2019, accessed June 2020.

supervisors during supervision visits; and 3) a health facility monitoring performance tool.

The supervisory checklist is a list containing priority issues that must be observed and recorded by the supervisor. The checklist helps the supervisor to focus on priority issues and reminds him/her to observe and record them. The information collected should help the supervisor to decide what corrective action can be taken during the visit and what issues need to be followed up for action in the longer term. A checklist contains items to be checked during every site visit. A good quality checklist should meet the three S's: short, simple and specific.

- a) Short: should include only priority areas to observe and record during supportive supervision visits
- b) Specific: items should be specific, with details on what exactly needs to be observed
- c) Simple: additional observations or comments should be easy to complete and record

Ensuring adequate resources are available for conducting visits

In order to conduct supervision visits, both financial and non-financial resources, such as per diem, vehicles with fuel, drivers, time and other resources should be budgeted for supervision and follow-up.

2. Planning regular supportive supervision visits

By using data and information from previous supervision visits, supervisors may decide on the priority areas of their supervision visits based on certain criteria. Once supervisors decide on the priority areas, a supportive supervision schedule should be prepared. The annual/quarterly workplan of activities should be consulted when scheduling supportive supervision visits. The frequency of supervisory visits may vary depending on the situation.

3. Conducting a supervisory visit

During the supervisory visit, supervisors observe performance and compare it to set performance standards. After acknowledging what is going well, supervisors provide constructive feedback on performance. They also discuss with supervisees and provide technical updates or guidelines along with on-the-job training. Supervisors also use data and supervisees' input to identify opportunities for improvement in order to solve problems jointly with the supervisees while following-up on previously identified problems. All the results of the supportive supervision will be recorded.

It is useful to maintain a supportive supervision logbook at each supervisory site. This should record the date of the visit, main observations, training given and agreed follow-up actions.

4. Post visit reporting, follow-up and follow through

Supportive supervision works only when it is followed up on and followed through. After the visit, the supervisor should plan a follow-up, which may comprise the following:

- (a) Reviewing the status of actions on tasks agreed upon during the supervisory visits;
- (b) Involving health workers in the planning process;
- (c) Working with health workers to develop materials including checklists, job aids and monitoring tools;
- (d) Reviewing monthly reports and establishing regular communication with supervised staff to see if recommendations are being implemented; and
- (e) Identifying career growth or leadership opportunities for the personal development of supervised staff.⁷

Remote supportive supervision during pandemics/epidemics

When in person visits are difficult for SC supervisors due to pandemics/epidemics such as COVID-19, HSCM organisations may conduct remote supportive supervision.

The following could be implemented while conducting remote supportive supervision

- Supervisors and supervisees should be trained in remote communication platforms prior to conducting remote supportive supervision in HSCM organisations, for example TeamViewer, Ultra Viewer and Microsoft Teams.
- HSCM organisations should also digitise checklists so that supervisees can complete them and supervisors can review them. In the absence of digital checklists, supervisors and supervisees may complete the checklist by phone. However, HSCM organisations should continue using nationally endorsed supervision checklists and documentation whenever possible to measure and act upon the quality of services.
- Supervisors should communicate and consult with HSC workers using existing technologies and connectivity through telephone, text messages, WhatsApp, Viber, Skype, Telegram or other means.
- HSCM organisations should deliver priority resources for skills building via e-learning. (Refer to WHO technical guidance, WHO Academy app for COVID-19 for mobile access for the latest resources and national guidance)
- HSCM organisations should reinforce competencies related to pandemics/epidemics through an immediate post-training follow up to narrow the “know-do” gap. For standard training courses, such as interpersonal communication (IPC), organisations should encourage virtual support to interprofessional post training sessions.
- Supervisors should also prioritise support to the lowest-performing sites in times of pandemics.

⁷ World Health Organization, “Training for mid-level managers”, 2008 module 4, pages 3-25, <https://www.who.int/immunization/documents/MLM_module4.pdf>, accessed June 2020.

- Supervisors should maintain documentation, protocols and communication for remote supervision as with in-person visits.
- Supervisors should follow the same calendar as for routine in-person visits so that all parties may prepare, but also allow for informal, impromptu communication. Flexibility to communicate, share information and extract data should be exercised during pandemics and epidemics.⁸

Phase 3: Develop

This is the third step in the performance management process.

4.3 Learning and development policy

General

This section is part of the *Skills* pathway in the PtD HR4SCM ToC. However, it is also part of the *Develop* phase of the performance management process which is part of the *Motivation* pathway.

Supply chain learning and development are aimed at improving the current and future performance of SC employees.

Supply chain workforce development in countries is the shared responsibility of SC employers, government, SCM employees alongside their supervisors and learning institutions.

Through the GHSC-PSM Project, PtD and SAPICs have introduced a comprehensive workforce systems approach. Accordingly, the Supply Chain Management Professionalization Framework contains an agreed-upon competency framework core that can be used by four distinct groups:

1. Governments to define standards for the profession
2. Employers to articulate SCM competency requirements and career pathways in their organisations
3. Learning institutions to define clear learning and teaching courses
4. SCM employees to map out a career SCM pathways⁹

HSCM organisations may decide the frequency of the learning and development plan (annually, biennially) depending on the size of the SCM workforce and type of training

⁸ Chemonics, "Guidance on remote supportive supervision during COVID-19", 2020, accessed July 2020.

⁹ R. dos Santos, GHSC-PSM, Dr. A. Brown, GHSC-PSM and B. McHenry, USAID, PtD, SAPICS, "Comprehensive Workforce Systems Approach: Supply Chain Management professionalization framework", 2019.

and development activities. Along with the learning and development plan, there is a budget for each planned learning activity.

Supply chain organisations shall allocate an aggregated amount of budget for learning and development purposes on a yearly basis. The actual cost is to be determined upon implementation of the learning and development plans.

Policy statement

It should be the policy of HSCM organisations to encourage SCM employees to continuously develop their capacity, skills, knowledge, attitudes and other attributes to achieve improved health outcomes. Health supply chain management organisations ensure that the development of the SC workforce brings about the highest level of productivity and achievement of organisational objectives. Organisations commit to support employees by allocating resources for learning and development activities and improving individual and organisational performance. However, learning and development shall not be considered as an entitlement and does not guarantee promotion or an incremental salary increase.

Applicability

This policy is applicable to all employees of HSCM organisations who have completed their probationary periods and have a long-term contract (usually a year or more). Health supply chain management organisations may state in their human resources policy manual the number of years an employee must work for the organisation in order to be eligible for learning and development opportunities. This is mainly to ensure that organisations invest in the learning and development of SCM employees who will be staying with the organisation for a relatively long period of time.

In cases of limited opportunities, nomination criteria for final approval and authorisation of the learning and development support are required. The following are the major criteria for eligibility, however, SCM organisations may add more depending on their context:

- 1.Relevance of the learning opportunity to the area of responsibility
2. Identification of the learning need in the learning and development plan
3. Supervisor's recommendation during the performance review based on the training needs analysis
- 4.Performance evaluation result from previous years, where applicable
- 5.Years of experience (seniority)

Training needs analysis

A training needs analysis (TNA) is the identification of training requirements as well as the most cost-effective means of meeting those requirements. It enables countries to develop informed training plans for the SC workforce, taking into account roles and responsibilities, the requirements of the job and actual skills and competencies. The

outputs from the process include a training needs analysis, training strategy, costed training plan and training resources to effect implementation.

A TNA seeks to accurately identify the current levels of technical and managerial skills in the target groups, by way of surveys, interviews, observation, secondary data analyses and/or workshops. The gap between the current skill levels and desired skill levels may indicate problems that in turn can be translated into training needs. There are two methods that may be used to assess the competence of individuals or teams. The first method is employee self-assessment, which is best done as a dialogue between an employee and their line manager. The second is the employee proficiency test, which takes a snapshot of an individual's current level of knowledge.¹⁰ For further information please refer to the following links: <https://www.skillsprofile.pamsteele.co.uk/> and <https://cat.empowerschoolofhealth.org/en/>.

Training and development needs can also be assessed in different ways

1. Individual development needs during performance reviews/planning periods
2. Supervisor's assessment
3. Technical departments' assessments

Training and development plan

The process to develop the SC workforce in line with PtD's guideline is as follows

- Develop a competency map for all staff engaged in health SCM activities
- Apply the PtD competency compendium and tools
- Review sample SCM job descriptions
- Work with HR to develop job descriptions
- Review available courses
- Develop SCM education and training plans with stakeholders

Training and development plans may be drawn annually or biennially as determined by HSCM organisations. Refer also to the PtD Educational Framework included in the SCM Professionalization Framework.

Forms of learning and development

There are different forms of learning that organisations choose to provide to their employees.

- a. **Employee job skill learning programmes:** these are training courses that help SCM employees improve their job-related skills.

¹⁰ UNICEF, "Capacity development country support, training needs analysis toolkit", August 2018 < <https://www.technet-21.org/iscstrengthening/media/attachments/2020/02/14/ii-tools-for-iscm-training-needs-analysis.pdf> >, accessed August 2020.

- b. **Employee career development programmes:** These are training programmes that help SCM employees grow their skills in the current job. These programmes include cross-training, mentoring, coaching, rotational programmes and supportive supervision.

Mentoring and coaching

Mentoring in supportive supervision is a collaborative effort between the mentor/supervisor and HSC worker to help improve their performance and raise their confidence.

Coaching is a key task of supportive supervision and allows front line workers to learn on the job and immediately apply what they are learning and see how well it works.¹¹

- c. **Leadership development programme:** this is a learning programme that focuses only on the leaders of the organisation.

Succession planning: this is a process to identify employees to replace those in critical roles, leaders and managers whenever the need arises.

The above programmes could be delivered in the following ways and HSCM organisations may choose one or more ways to deliver the learning programmes depending on the resources and availability of the infrastructure.

I. In-house learning programmes

These are the types of training sessions that are organised and conducted by the employees/internal resources.

The following are the main types of in-house training:

- a. **Onboarding:** This is a type of training to be conducted for newly recruited employees of the HSCM organisation.
- b. **Training courses:** This is a type of in-house training in which internal resource persons or experts in a thematic area organise training for employees. External experts can also be hired but the training session is to be housed and organised by the organisation.
- c. **Workshops and seminars:** These are mainly organised to transfer skills and knowledge of a specific topic. It could be organised for one day or more.

¹¹ UNICEF, "Interpersonal Communication for Immunization, Transforming Immunization Dialogue, Supportive Supervision, A Manual for Supervisors of Frontline Workers in Immunization", page 1, 2019, accessed June 2020.

II. External learning programmes

As part of continuous professional development (CPD), external learning is organised by training institutions or, professional SC associations, such as SAPICS, the Chartered Institute of Procurement (CIPS) or other organisations and educational institutions that provide different educational and training services to the public in SCM areas.

The training or education service can be delivered in different modalities and the following are the major ones that employees can make use of.

a. Formal training/education:

This is a process of learning and training, especially in schools or colleges, to improve knowledge and develop skills. Formal training/education can take the form of evening studies, pre-service training, distance learning, online training or e-learning and summer courses. Each of these can further be classified by the level of study, such as graduate studies or undergraduate studies.

b. Informal training:

This is a form of learning and training through which SC employees acquire knowledge, competencies and skills outside the formal learning environment. This could be on the job training (OJT), field visits/on-site training and through meetings.

Professional membership

Membership and participation in the activities of professional associations for supply chain management specialists provides another method of maintaining up-to-date knowledge of current trends, best practices and professional networks.

Certification

With the aim of professionalising the SC workforce, HSCM organisations may support in helping their employees to become certified in global standards and accredited programmes in SC management.

Learning time and study leave

Organisations should provide learning time and study leave for employees attending formal education elsewhere.

Responsibilities of supply chain employees, supervisors and organisations in relation to learning and development programmes

Roles of supply chain employees

- Identify their learning needs and request the organisation for support;
- Successfully accomplish the training/education programmes;
- Seek support from supervisors to work on different projects/assignments that will allow them to apply what they have learned; and
- Apply the knowledge and skills gained as a result of training and development support.

Roles of supply chain supervisors

- Support employees in identifying skills and knowledge gaps and propose learning options;
- Support employees' efforts in different learning modalities;
- Coach employees and provide on the job training where practical and possible;
- Involve employees in projects and assignments that would help to develop their skills; and
- Encourage employees to attend different meetings and workshops.

Roles of human resources department

- Advise employees and supervisors in identifying their training and development needs;
- Document the learning and development needs of the employees;
- Conduct a training needs assessment and develop a learning and development plan; and
- Organise learning and development activities in consultation with SC managers.

Roles of supply chain management organisations

- Provide guidelines for learning and development function;
- Brief employees on the available options and modalities of the learning programmes;
- Support employees in identifying training needs and covering costs/tuition fees;
- Facilitate development activities by allowing employees to attend training sessions and other employee development programmes;
- Support by allowing study time for employees attending formal studies or pursuing other learning activities; and
- Support employees to become a member of professional SC associations.

Monitoring and evaluation of learning and development

The purpose is to assess whether the planned learning has been provided and progress has been made in accordance with the annual/biennial learning and development plans.

Health supply chain management employees should also be assessed by their supervisors on whether the intended development plan has been achieved and improvements have been made. Annual performance review processes help to evaluate an employee's improvement in identified gaps and whether they have been addressed as intended or not.

Examples: NMSF Sudan: areas of staff development

- Capacity building programme, including training (internally and abroad) to empower SC staff
- Computer literacy
- Distribution of learning materials
- Opportunities to participate in regional and international meetings, workshops and conferences
- Free access to HINARI
- Self-directed learning (leveraging online courses, such as the Global Health eLearning Center)

Phase 4: Recognise

4.4 Reward and recognition policy

General:

Supply chain organisations should provide a clear, written policy and guidelines describing the reward and recognition programme and its terms.

For a recognition programme to be effective it should meet several criteria. The programme should be well-funded, aligned with organisational goals, appropriate for employees' achievements and timely. The methods of presenting awards must be managed well, with managers themselves playing key roles. The process for choosing and recognising employees should be straightforward, and the programme should be reviewed and evaluated regularly.¹²

This section is part of the *Motivation* pathway in the PtD HR4SCM ToC.

Policy statement

Health supply chain management organisations should ensure that a reward and recognition programme is in place to help motivate their employees and attract new talent. Rewarding and recognising may be considered as an acknowledgment of an employee's or team's achievements. It may be public or private, monetary or non-monetary. Organisations should recognise the good performance of their employees or teams. Reward and recognition programmes also help to build an organisational culture in which good individual or team performances are recognised.

Applicability

This policy may be applicable to all permanent and regular employees of HSCM organisations. It also applies to teams within the organisation.

¹² Society for Human Resource Management, "Managing Employee Recognition Programs", 2017, <<https://www.shrm.org/resourcesandtools/tools-and-samples/toolkits/pages/employeerecognitionprograms.aspx>>, accessed September 2020

The following are factors SC organisations should consider when rewarding and recognizing their employees:

- **Employee's performance goal to be measured:** The objectives and performance goals of employees should be the basis for implementing the policy of reward and recognition. Team performance should also be measured against planned objectives. Performance based incentives (PBIs) could be implemented to reward both individual and team performance.
- **Performance-based incentives (PBIs):** These are financial incentives to reward the attainment of results. Employees can receive performance payments at any point in the supply chain but only if specified results are achieved. If there are no results, no performance payment is made. PBIs therefore promote hard work, innovation, accountability and results.
- **Employee eligibility criteria for warranting recognition or award:** HSCM organisations set out criteria and procedures to implement the reward and recognition policy. These criteria should be mainly related to the performance of the employees (performance-based incentives). However, employees may also be recognised for many years of service, retirement, initiation of new ideas, completion of degree programmes and other factors defined in the organisation's policy.
- **The approval processes:** Organisations may set up a committee to evaluate the eligibility of employees or teams for rewards and recognition. The committee may endorse the recommendations to the appropriate approval authority as set out in the policy.
- **The types of rewards that will be provided:** The types of rewards will depend on the commitment of organisations and budget availability. The types of rewards, meanwhile, may be monetary and non-monetary.
 1. **Monetary rewards:** These are monetary incentives given to employees. It could be increment in salary (merit pay), bonus, one-time lump sum award and cash reimbursements for certain expenses.
 2. **Non-monetary rewards:** Competency based incentives could also be given to SC employees or teams based on their overall performance. These could include promotions, opportunities for development or training, exposure visits, transfers to other work units, job rotation assignments in special projects, scholarships for short courses, membership of professional associations, recognition certificates, and gifts.

Roles and responsibilities

Supply chain employees are responsible for meeting the requirements of their job description and achieving objectives as set out in their workplans. Supervisors are also responsible for supporting employees by encouraging and recognising good and

outstanding performance. HSCM organisations also create a culture of good performance and recognition of good performance.

Examples:

- NMS Uganda has a reward and recognition policy which is managed and updated by the board of directors.
- At KEMSA, employee rewards and recognition systems include annual salary increments, a recognition letter signed by the CEO and a dinner with the CEO.
- NMSF Sudan introduced performance-based rewards and incentives in 2012. The system applies if an employee scores above 70 points in their performance appraisal, in which case NMSF offers staff an additional benefits package.

4.5 Job rotation policy

General

Job rotation is the systematic movement of employees from one job to another within the organisation to achieve various human resources objectives such as orientation, training, career development and prevention of job boredom or burnout.¹³

Job rotation is the temporary movement of employees from their positions to others for a pre-determined period to perform the duties of another position without a change in level or grade.

Policy statement

Supply chain organisations ensure that SC workers have the opportunity to work in different positions within their work unit or other work units depending on their area of specialisation and availability of positions. Organisations should also encourage their employees to develop knowledge, new skills and a broader understanding of SCM operations.

Applicability

This policy is applicable to all permanent employees of SC organisations

¹³ Society for Human Resource Management, Job rotation Policy, < <https://www.shrm.org/ResourcesAndTools/tools-and-samples/policies/Pages/default.aspx> > 2018, accessed June 2020

Procedures

Once the policy is in place, SC workers or their supervisors may request job rotation if there are available openings in other work units within or outside the department.

The approval authority should review the request based on the organisation's eligibility requirements and relevance of the rotation to the overall performance improvement of the organisation and development of the employee's skills.

A committee could also be set up to manage job rotation requests and recommendations could be sought from the supervisors. However, the final decision on job rotation should be made by the approving authority in line with the policy of the SC organisation.

Example: In NMSF Sudan, employee rotation serves as a tool for increasing organisational performance through innovation and collaboration. The rotation process forms part of the employee's development plan and is guided by procedures outlined in *Succession planning* and *Career pathing*.

4.6 Transfer and promotion policy

General

A transfer is defined as the movement of staff from one location/work unit to another or from one post to another without a change in grade and salary.

A promotion is the movement of staff to a higher-grade post with an increase in responsibility and basic salary.

This section is part of the *Motivation* pathway in the PtD HR4SCM ToC.

Policy

Supply chain organisations may transfer their employees from one location/department to another and or from one post to another as required. Transfers may provide an opportunity for the development of SC employees.

It should also be the commitment of HSCM organisations whenever possible to promote SCM employees who are deserving, qualified and have proven ability and potential to move to higher positions. This should correspond with an increase in salary, duties and responsibility.

The transfer and promotion of staff should be on a competitive basis.

Applicability

All SC employees under permanent and regular employment are eligible to apply for a promotion or transfer in line with the eligibility criteria of the organisation.

Procedures

Health supply chain management organisations shall set out procedures to promote or transfer employees.

Even if the process is internal, transfers and promotions should follow the staffing procedures of screening, formation of a transfer and/or promotions committee, a desk review of applicants' profile for transfer or promotion, selection and placement of the best fit.

Health supply chain management organisations should post the vacancy and circulate it internally whenever there is a need to fill the position through a transfer or promotion.

Health supply chain management organisations may set up a committee for promotions and transfers permanently or on an ad hoc basis.

The committee should be responsible for developing criteria for promotions or transfers based on the requirements of the vacant position and competencies required in the job descriptions.

Internal candidates' technical skills and competencies should be assessed to evaluate their suitability for the vacant position. However, other criteria such as performance in the current role are to be considered before a decision is made.

The decision for a transfer or promotion should also be endorsed by the committee and approved by the authorities responsible in the organisation.

Example: At CMST – Malawi, promotion is granted to employees if:

- i. The employee is competent enough, has suitable qualifications and the relevant experience to carry out the duties attached to the higher post;
- ii. The employee has demonstrated outstanding performance in their existing post based on the annual performance appraisal;
- iii. The employee has core competencies for a higher grade; and
- iv. The employee has good general qualities such as the ability to work well with subordinates and colleagues, reliability, initiative, sense of responsibility, judgment and diligence.

5

ENGAGEMENT AND RETENTION POLICY

SECTION 5: ENGAGEMENT AND RETENTION POLICY

General

This section is part of the *Motivation* pathway in the PtD HR4SCM ToC.

Employee engagement is the commitment and involvement of employees towards their work and organisations.

Retention is a strategy to manage staff turnover and encourage employees to stay with the organisation for a long period of time.

Supply chain organisations should develop and implement the different policies to ensure employee engagement and retention. These policies are discussed in the different sections of this document. These are: recruitment and onboarding systems, learning and development opportunities, reward and recognition programmes, job rotation, promotion and transfer policy, performance management and supportive supervision systems, compensation and benefits policy.

Organisations may also help employees to better engage and also minimise turnover by creating a positive work environment through better communication.

- **Communication:** Open communication between leadership, management and employees reduces turnover and also helps engagement.
- **Work environment:** Flexible work arrangements and social events help employees to better engage with one another.

Policy statement

Supply chain organisations have the responsibility to manage turnover and retain SC employees by applying different retention strategies. They also ensure that employees are engaged and committed to their work. Organisations should also put a system in place to engage and retain their employees by creating a positive work environment and developing policies to support these efforts.

Applicability

This policy applies to all permanent employees of the organisation.

Example: Kenya Medical Supply Authority (KEMSA) implemented an employee engagement and retention policy through its talent management strategy.

6

COMPENSATION, BENEFIT AND ALLOWANCE POLICY

SECTION SIX: COMPENSATION, BENEFIT AND ALLOWANCE POLICY

6.1 Compensation policy

General

The purpose of a compensation policy is to create and maintain a work environment that attracts and retains talent owing to the existence of a fair and transparent compensation system.

Health supply chain management organisations should develop a compensation philosophy that is a broad statement documenting an organisation's guiding principles and core values about employee compensation.

The compensation philosophies of organisations vary, however for all organisations internal equity and external competitiveness should be the basis on which to set out a compensation philosophy. Other factors such as financial capacity, organisation size, and the nature of jobs in the organisation also determine the compensation philosophy.

This section of the policy is part of the *Working conditions* pathway in the PtD HR4SCM ToC.

Policy statement

HSCM Organisations should be committed to developing a compensation philosophy that attracts and retains SC staff and provides fair pay. They should also base their compensation on internal equity and external market competitiveness, among other factors.

Applicability

This policy applies to all remunerated SC employees of the organisation, whose salary is determined according to the policy of the organisation.

Salary: Salaries should be determined based on the current market salaries for similar positions, scope of work, level of responsibility, and the level of experience and qualifications required for a position.

Salary reviews: Salary reviews are conducted when the current salary scale is no longer attractive or competitive. To assess the current market, salary surveys are often conducted.

Salary structure: After a job evaluation is conducted and job grades are determined, it is important and good practice for organisations to construct a salary structure for consistency, equity, transparency and fairness.

The salary scale will have a minimum and maximum pay for a given job/pay grade. Within each grade there are several steps/ranges which vary across organisations. Judgments about how these ranges support career growth, performance rewards and promotions determine range spread.

Organisations may choose other systems to construct a salary scale. The step increment within each grade may be applied for merit-based salary increments, which are granted to employees based on the results of performance evaluations. Even though this is common in most organisations, step increments are also applied based on service time spent in the organisation (seniority).

The salary structure of organisations may be either based on civil service protocol or constructed by the organisations themselves using market salary surveys.

For example,

- NMSF Sudan has a salary structure that includes basic salary, cash alternatives, performance-based incentives, incentives for EID, meal allowance, national social insurance contributions and gratuity.
- KEMSA conducts salary market analysis and can negotiate salaries with specialists in high demand.
- At EPSA, salaries are defined by the Civil Service Commission according to job grades and follow the pay scales established for institutions under the auspices of the Ministry of Health, hence a salary market analysis is conducted.
- At CMST, salaries are structured according to job grades and include salary increments.

The following are some of the terms used in applying salary scales.

Basic salary: a fixed amount of money payable for work performed and at regular intervals.

Gross salary: the total salary and allowances prior to any type of mandatory deductions.

Net salary: the take home salary that an employee receives after all statutory and other deductions are made, as required by the laws of the country.

Salary deduction: could be mandatory/statutory, such as tax deduction, contribution for pension deductions, and other deductions (e.g., court order) as required by the laws of the country.

Pay period: the common pay period for most organisations is on a monthly basis; however, organisations may decide to pay on a bi-weekly basis depending on their pay

policy or the country's pay system. The date and modality of payment should also be determined in accordance with the policy and procedures of the organisation.

Salary advances: an organisation may agree, in its pay policy, to grant salary advances to help employees resolve any short-term financial problems. Salary advances should be requested by employees and approved by the authorities responsible as set out in the policy.

Wages: organisations may use wages for short term hires who are paid on a daily or hourly basis. However, the rate should be determined by the organisation and the minimum wage is determined by country's laws.

Overtime: overtime is the extra time worked outside the normal working hours as determined by the organisation's policy and procedures of working hours. The rate of overtime may vary across organisations and as per the country's laws. However, not all positions warrant overtime.

Overtime procedures: prior approval of overtime should be given by the responsible authorities for SC employees to work extra hours.

Payment should be made in accordance with the overtime policy and in line with the salary of the SC employees.

Working hours: organisations may define working hours provided that they do not exceed the maximum working hours in a week stipulated by the country's civil law. The working hours of different countries or locations within countries may vary and these variations should be taken into account when defining working hours.

6.2 Benefits policies

General

Supply chain organisations should be committed to providing different types of benefit schemes for their employees within the scope of their budget capacity. Employee benefits help to attract and retain committed professional SC employees, reduce employee turnover and increase morale and job satisfaction.

6.2.1 Leave and time off policies

The number of days granted to SC employees as paid leave can vary across countries or organisations.

National laws may require organisations to grant different types of paid and unpaid leave to their SC employees and also determine the minimum number of days that organisations may provide. However, the number of days can be adjusted by organisations provided that they respect the minimum requirements.

Types of leave:

There are different types of leave that organisations may grant their SC employees. However, organisations should decide which types of leave are important or relevant and enforced by law. The types of leave that are dictated by law should automatically be incorporated in the organisation's policy and procedures manual.

6.2.1.1 Annual leave policy

General

Annual leave provides a relief from both the mental and physical demands of an employee's job. Annual leave is counted in workdays.

Policy statement

It should be the policy of HSCM organisations to grant annual leave to their employees. However, planning may be required for short-term staff to replace an absent employee if the absence is for a longer period of time and the position of the employee cannot not be covered internally by co-workers.

Applicability

All SC employees with regular and full-time employment are entitled to annual leave. Temporary SC employees are also entitled to annual leave proportional to the duration of their contracts. Probationary SC employees are also entitled to annual leave days upon employment.

Procedures

Supply chain employees should be allowed to take their annual leave at any time of the year but planning of annual leave is necessary to avoid overlaps of absences.

The number of days of annual leave shall be determined by organisations, however in many countries the minimum number of days is normally determined by the government.

The leave days could be taken once, twice or on multiple occasions during the year, however, the HSCM organisation decides specifically how.

It is a good practice for organisations to have a system of annual leave plans at the beginning of the fiscal year. SC employees may plan their own annual leave with their supervisors' approval. SC employees should request their leave days in accordance with the leave plans submitted at the beginning of the year.

Annual leave days may be carried forward in line with the organisation's leave policy and national laws. The number of leave days to be carried forward should also be stated in the policy and procedures of organisations. Annual leave days may also expire if not taken on time and if there is no policy for carrying forward.

When SC staff separate from an organisation, all accrued annual leave should be calculated and be given in cash as part of their terminal payment.

6.2.1.2 Sick leave policy

General

This is a type of leave given to employees to take off when they are unwell. Sick leave policies may be determined by national laws or by organisations. In cases where the government determines sick leave, organisations have no option but to apply what is stated in law. However, they are free to provide a better provision for sick leave days.

Policy statement

HSCM organisations should ensure the health and wellbeing of SC employees and can do so by granting sick leave days to their employees.

Applicability

The policy applies to all SC employees irrespective of their employment type.

Procedures

Sick leave procedures are set out by HSCM organisations in order to administer the sick leave days of employees

The approval of sick leave should also be in the procedures of the sick leave policy.

Sick leave days are counted on consecutive calendar days, unlike annual leave days.

Sick leave days should also be requested by employees upon submission of a medical certificate from a recognised treating physician when it is for an extended period of days.

If the sickness is for a few days, organisations may grant sick leave without a medical certificate. However, the maximum number of days of sick leave granted without the medical certificates should be determined by the sick leave policy.

When employees utilise their sick leave entitlements, upon reaching the maximum number of sick leave days organisations should take appropriate administrative actions, in accordance with the policy and procedures and government laws.

However, it would be a good practice if organisations allowed their employees to take their unused annual leave immediately after using their sick leave days, prior to taking any measures.

6.2.1.3 Parental leave (paternity/maternity leave)

General

Maternity leave is leave granted to female employees whereas paternity leave is leave that is granted to male employees. In many countries and organisations, parental leave is dictated by law.

Policy statement

Supply chain organisations should support the granting of maternity and paternity leave to their employees. The number of parental leave days varies across countries, however the minimum is usually set by the government. As health organisations, HSCM organisations should also support their female employees to allow them to take unpaid maternity leave after using their paid maternity leave days.

Applicability

This policy should be applicable to all full time regular and temporary SC employees. Maternity leave is available to female employees while paternity leave is available to male employees of the organisation.

Adoption leave

HSCM Organisations may grant adoption leave to allow their staff for a period of paid leave to bond with and take care of the newly-adopted child following her/his adoption.

6.2.1.4 Leave without pay

General

Leave without pay is granted when SC employees use the entirety of their annual paid leave but require additional leave days to carry out personal matters. In some countries this is dictated by government but in most cases it is the organisation's policy to determine leave without pay. Leave without pay policies vary from organisation to organisation.

Leave without pay may be granted for reasons of sickness when paid sick leave is exhausted, for extending the maternity leave after the standard number of maternity leave days have been used, or for training and development purposes when a course is not supported by the learning and development policy of the organisation.

Policy statement

Organisations grant leave without pay when it is believed that it is important to help SC employees resolve their personal matters.

Applicability

It applies to SC employees in a full-time regular employment in most cases, however applicability is also determined by the policy.

Procedures

The purpose of leave without pay should be clearly stated when employees request for such leave.

The maximum and minimum number of days should be determined in the policy as it affects the employee's payroll and other statutory deductions.

Leave without pay requests should be planned and approved by the appropriate approval authorities as it affects the work of the organisation.

Employee absence requires replacements if the duration is for an extended period of time and where the replacements are from external sources.

Leave without pay should be requested in advance when employees have exhausted their annual leave.

Example: NMSF Sudan: Leave without pay will only be granted in exceptional cases to permanent employees who have been employed by the organisation for a minimum of five years. The leave should fit into the organisation's plans and the organisation should find a temporary replacement to cover – either partially or fully – the responsibilities of the employee during the absence period.

6.2.1.5 Compassionate leave

This is the type of leave granted to SC employees when they encounter personal problems such as the death of a family member or a close relative or to attend their own wedding. The minimum number of days leave to be taken is dictated by law in some countries. However, organisations may also decide to grant more days for compassionate leave.

6.2.1.6 Education/study leave

In order to support SC staff in their learning and development efforts, organisations should commit to granting education or study leave days. The leave days could be used to study or take exams, as determined by the organisation's policy.

6.2.1.7 Holidays

As holidays are often dictated by the government, the policy can vary across countries. Holidays could be public or national. Supply chain organisations may decide to grant holiday leave for one or both types of holidays in line with their policy. Additionally, they should inform their employees the type of holidays that are observed in the country or location where the organisation operates.

6.2.2 Medical benefits policy

The main purpose of a medical benefits policy should be to determine the medical related support that is provided by the organisation to cover various hospital expenses, medical services and prescribed medicines.

The policy should also determine the amount of coverage, authorisation and reimbursement procedures and financial management of the medical expenditure of non-job-related sickness/accidents.

6.2.3 Insurance policy

The purpose of an insurance policy is to help cover SC staff through different insurance schemes. Organisations may provide related benefits depending on business need and financial capacity.

In some organisations, some insurance coverage is provided only to a select category of employees. However, there are also mandatory insurance coverage policies that the government requires and applies to all categories of SC employees.

The different types of insurance are listed below.

6.2.3.1 Health insurance policy

This is a type of policy that covers SC employees for illnesses that are not accident related. In many countries, the government dictates the health insurance. In some instances, organisations, as part of their medical benefits scheme, set out a health insurance policy. In this case employees and the government/organisations contribute as to the health insurance scheme.

6.2.3.2 Accident insurance policy

It should be the policy of SC organisations to provide accident insurance cover to their employees for the injury or death that are caused by accident while on duty or outside working hours. This is applicable to all SC employees regardless of their employment status. Such policy is set out by the government or SC organisations.

6.2.3.3 Workers' compensation/insurance policy

Organisations should ensure that SC employees are covered by insurance in the event of illness, injury or death caused by an accident while they are on official duty. This is mostly dictated by law, however organisations set out policies and procedures to support SC employees in such instances.

6.2.4 Pension benefits

This is a type of employee benefit provision dictated by the government. Supply chain organisations contribute to a pension fund on behalf of employees for as long as they are employed by the organisation. Employees also contribute to this scheme by contributing a percentage of their salary. The amount of pension fund contributions or payments after retirements varies across countries, while the pension can be drawn in instalments after retirement.

6.2.5 Employee loans

Supply chain organisations may set out a policy to lend money to their employees to help solve financial problems. The types of loans may vary across organisations.

6.2.6 Dependents' benefits policy

General

Dependents' benefits are benefits extended to immediate family members of employees as set out in the organisation's policy procedures. The definition of dependent or immediate family members should clearly state which family member is included in this benefit scheme. These benefits are provided by organisations though the amount varies. The dependents benefits may include health, insurance and educational benefits and pension.

Policy statement

Supply chain organisations shall commit to extend benefits to the dependents of their employees, provided that they have the financial capacity to support them. Organisations should ensure that employees are assisted with the dependents' benefits scheme.

Applicability

The policy should apply to all full time and regular employees of the SC organisation.

Procedures

Supply chain employees may register their dependents upon employment or update their family status during employment.

The organisation should verify and include all eligible dependents for provision of available dependents' benefits.

The maximum amount of the dependent benefits should clearly be communicated to all SC employees and organisations shall implement this accordingly.

A request should be made by SC employees and approval sought by the appropriate authority.

6.2.7 Terminal benefits

General

Terminal benefits are payments that SC employees receive when they separate from organisations. This benefit is mostly determined by the government. However, organisations may also devise their own terminal benefits with better provisions.

In most cases, the level of terminal benefits varies depending on the separation. If the termination is organisation-initiated (excluding misconduct), the provisions would benefit the employee. There are different types of terminal benefits as listed in the following paragraphs.

Death benefit is a type of terminal benefit granted by organisations upon the death of employees. Recognised family members would receive an amount to cover the funeral expenses upon the death of an employee. The amount should be determined by the policy of the organisation.

Severance pay is the payment given to separating SC employees in recognition of their service period. The eligibility criteria should be determined by national law but organisations should also provide provisions for such benefits.

Compensation pay is the payment given to separating SC employees when terminations are organisation-initiated. This is a type of benefit to compensate for the loss of their job. The amount can either be determined by organisations or the government in line with the laws of the country.

Accrued leave pay is the payment given to separating employees for any leave days accumulated during the employee's service period.

Pension Pay is the payment given to separating SC employees owing to their retirement. The amount would be paid in instalments for the period of retirement as per the policy of the organisation.

Terminal benefits procedures

Termination benefits shall be paid upon separation of employees and submission of all documents that are required by the employers.

Clearance is needed by separating employees and should be approved by the appropriate authorities prior to initiating the process of terminating the benefits. The timely payment of terminal benefits is required of organisations.

6.3 Allowances

General

Allowances are cash payments given in addition to the salary of employees. There are different types of allowances that are provided by organisations and the following are the most common provided by HSCM organisations.

6.3.1 Travel allowance

Travel allowance/per diem is a payment made to SC employees to cover their expenses whenever they travel for official duty and spend a night outside of their work location. In some instances, it also applies for full day duty travel without spending a night.

The per diem policy of HSCM organisations should be set out in line with national laws. However, organisations may devise their own policy and procedures to administer the travel related allowances of their employees.

Example: At CMST Malawi, travel allowance is divided in to two categories,

Within country duty travel: CMST covers the following based on the grades of the positions. i.e., the allowance provided for staff varies with position grade: (a) accommodation, (b) subsistence allowance, (c) meal.

External travel allowance: This is to cover travel and other expenses incurred by employees travelling abroad. This again depends on the grade levels of the position holders.

6.3.2 Transport allowance

This is a type of benefit to be provided by organisations to cover the transport costs of SC employees to and from their work location and residences.

The allowance could be determined by the SC organisations using different approaches, which include a flat rate for all SC workers or a progressive rate depending on the positions or based on percentage of salary earned.

Supply chain organisations may also provide vehicles for key position holders and reimburse the cost of fuel above a certain level of mileage.

Organisations may devise a better approach taking into account their budget and the incentive aspect of this benefit.

6.3.3 Acting allowance

General

An acting allowance is a payment made to employees to replace other employees of higher positions who are absent from work for a certain period of time. Not all positions are eligible for an acting assignment. There should be a policy and procedure to administer the acting allowance.

Policy statement

HSCM organisations should assign employees to a higher position whenever there is a vacant position that should be replaced by an internal employee. An acting assignment is required when the position cannot be left vacant and if there is an internal employee who is capable of filling the vacant position.

Procedures

- Period/duration of acting assignment should be specified
- The positions that are eligible for acting assignment should be pre-defined
- Approval of the acting assignment should be made prior to starting the new position
- A maximum period for acting assignments should be determined by the HSCM organisation
- Next steps should also be explained in cases of long-term acting assignments
- The payment modality for acting allowance should be determined in the procedures

Example: At NMS Uganda, an acting appointment allowance is paid by calculating the difference between the salaries of the two positions (the salary of the higher position should be offered).

6.3.4 Hardship allowance

This is a type of allowance provided to employees working in hardship areas as set out by the government or organisations. In order to compensate for the difficult work environment and facilitate their stays, organisations shall pay a hardship allowance to employees.

Policy statement

It is the responsibility of organisations to provide a hardship allowance for employees working in hardship areas. Organisations should also commit to communicating the list of locations that warrant a hardship allowance.

Applicability

All employees who work in hardship areas, regardless of their positions and contract type, should be entitled to a hardship allowance.

Procedures

HSCM organisations should regularly share an updated list of locations in the country that warrant a hardship allowance.

When SC employees are assigned to these locations, they should be made aware of the need to request a hardship allowance, or the organisation's payroll administration should capture the information about the location and eligibility for a hardship allowance.

Hardship is calculated as a percentage of salary, however a fixed allowance could also be applied in accordance with the country's laws or an organisation's policy.

Example: At Medical Stores Department of Tanzania, a hardship allowance is provided for employees working in remote areas.

7

EMPLOYMENT TERMINATION POLICY

SECTION SEVEN: EMPLOYMENT TERMINATION POLICY

General

Employment termination takes place when organisations or their employees wish to cease the services in accordance with the policy of the organisation.

The employment contract could be terminated with or without notice, either voluntarily or involuntarily.

Any termination of an employment contract should be done in accordance with the country's law and reflected in the organisation's own policy.

Termination benefits should be granted depending on the reasons of termination and in line with the policy of the organisation.

This section is part of *Working conditions* pathway in the People that Deliver Human Resources for Supply Chain Theory of Change.

7.1 Policy statement

Supply chain organisations have the responsibility to manage the termination of services of their employees in a fair and professional manner whether the termination is voluntary or involuntary. The termination of employment in SC organisations should be in accordance with the country's laws and internal policy. Termination of service could be initiated by organisations or employees and a notice period should be granted for separations that warrant a prior notification.

Applicability

This policy applies to all employees who have an employment contract in line with the policy and procedures of the SC organisation.

7.2 Reasons for termination

The reasons for termination in SC Organisations may vary, however the following are common reasons that apply to most organisations.

1. Resignation: when employees wish to leave the organisation upon their initiation. This type of separation requires a notice period.
2. End of contract: upon completion of the contract of an employee.
3. Retirement: upon reaching the mandatory retirement age as dictated by law of the country.

4. Disciplinary reasons: due to misconduct or a violation of an organisation's code of conduct.
5. Poor performance: due to an inability to meet the expectations of the organisation.
6. Redundancy/abolishment of position: When the position of an employee becomes redundant due to change in organisational structure or when the position is no longer relevant to the current business needs.
7. Medical grounds: when employees fall sick and are unable to perform their duties
8. Death
9. Liquidation of establishment: when the operation of the business comes to an end and is certified by the appropriate government authorities.

Terminal benefits

These are cash payments made upon separation of an employee if the reasons for termination warrant terminal benefits to be paid. *For further reading, refer to the sub section on terminal benefits in section 6 of this document.*

Exit interview

When employees leave their organisations voluntarily, it is good practice for HSCM organisations to conduct an exit interview in the last week of their services.

The human resources department is responsible for scheduling an exit interview with the separating employee in order to receive feedback from the employee and learn more about the organisation's strength or weakness.

Certificate of service

Whether the separation is voluntary or involuntary, SC organisations have the responsibility to issue a service certificate to their employees upon termination of services.

8

DISCIPLINARY AND GRIEVANCE POLICY

SECTION EIGHT: DISCIPLINARY AND GRIEVANCE POLICY

8.1 Disciplinary policy

General

Health supply chain management organisations encourage a climate of mutual respect, openness, understanding, healthy debate and discussion among supervisors and subordinates.

They may refer to national laws or develop their own disciplinary policy and procedures depending on the nature of their work and type of offence employees may commit.

This section is part of the *Working Conditions* pathway in the People that Deliver Human Resources for Supply Chain Management Theory of Change.

Policy

Health supply chain management organisations are expected to ensure that employees maintain high standards of professional and personal conduct including self-discipline while at work. It is also the responsibility of HSCM organisations that any allegations of misconduct are investigated in line with the organisation's procedures and actions be taken accordingly.

Applicability

The policy on employee discipline should apply to all levels of employees regardless of their contractual status.

Disciplinary actions

The disciplinary actions may vary with organisations depending on their internal procedures, however the most common disciplinary actions that may be taken by many of SC organisations are the following:

1. **Verbal warning:** this form of disciplinary action should be used for minor acts of misconduct.
2. **Written warning:** this form of disciplinary action should be used for repeated acts of misconduct and for offences that have not been corrected by the verbal warning. They are also more serious than minor acts.
3. **Suspension from duty:** this form of disciplinary act should be used for a serious offence that entails suspending the employee while an investigation is conducted. The suspension could be with or without pay in line with the policy of the organisation.
4. **Summary dismissal for serious misconduct:** this is an immediate termination of employment without notice when a serious offence has been committed which entails termination in accordance with the policy of the organisation.

Examples of offences that cause disciplinary actions to be taken at NMSF Sudan

1. Minor offences include, but are not limited to:

- a. Reporting to work late without informing or receiving permission from the employee's supervisor;
- b. Being absent or leaving the office without informing and receiving permission from the employees' manager;
- c. Negligence of duty;
- d. Unsatisfactory performance;
- e. Unauthorised use of official property including taking, communicating, possessing and photocopying official documents and information without authorisation;
- f. Minor damage to official property; and
- g. Abuse of sick leave.

2. Major offences include, but are not limited to:

- a. Abuse of privileges and immunities;
- b. Use of abusive language;
- c. Habitual unauthorised absence from duty without valid cause;
- d. Serious damage to official property;
- e. Behaviour likely to bring NMSF into disrepute;
- f. Misuse and abuse of official property;
- g. Refusal to carry out lawful instructions;
- h. Wilful, unfounded allegations or defamation against other employees;
- i. Disclosure of official information without permission;
- j. Repeated abuse of sick leave;
- k. Acts of commission or omission, sectarian and parochial, prompted by allegiance to national interest contrary to the provisions of the human resources policies and procedures; and
- l. Persistent unsatisfactory performance as evidenced by the performance review report.

3. Gross offences include, but are not limited to:

- a. Desertion of work during the probationary period;
- b. Absence for 45 consecutive days without an acceptable reason;
- c. Failure to obey the transfer decision without an acceptable reason, within three months from the date of the decision;

- d. Persistent repetition of major offences;
- e. Riotous and disorderly behaviour on duty;
- f. Theft of NMSF property including data, files and records.
- g. Misrepresentation or false certification in connection with any claim or benefit from the NMSF;
- h. Embezzlement or misuse of official funds;
- i. Misuse of office and/or abuse of authority;
- j. Breach of confidentiality;
- k. Conviction by a court of law of a criminal offence;
- l. Gross insubordination or insolence to any lawful and reasonable orders;
- m. Taking or giving bribes or any illegal gratification;
- n. Serious assault, verbal or physical, harassment, (including racial and sexual harassment), or threats to other employee members;
- o. Wilful and repeated disregard of authority; and
- p. Serious and wilful damage to official property.

Disciplinary procedures

Disciplinary procedures also are internal to organisations, however SC organisations may refer to the civil service protocol and the nature of their operation to develop disciplinary procedures.

Discipline committee

Health supply chain management organisations shall set up a disciplinary committee to look into offences or wrongful acts by employees or allegations that require further investigation, in line with the organisation's disciplinary policy. The committee may comprise senior employees from different areas of work and expertise. However, representatives from the human resources and legal departments should be included when possible and practical.

CMST Malawi for example, applies the following procedures to discipline its employees:

Investigation

The Trust shall conduct an investigation into all alleged acts of indiscipline if there is the need to establish more facts. It may, in particular cases, even suspend the employee for a specified period if this facilitates the proper investigation of the matter. During the period of suspension, the employee should not be allowed access to any of the Trust's premises except at the prior request or with prior consent of the CEO and subject to any conditions the Trust may impose.

Disciplinary hearing

If the Trust decides to hold a disciplinary hearing about a matter, it should give details of the charges to the employee. At the hearing, the employee should be given an opportunity to state his case and may be accompanied by an employees' representative or by a representative of the union of which the employee is a member. If an employee fails to turn up for the hearing, the committee may proceed and take the appropriate decision, which shall be communicated to the employee within five working days of the end of the hearing.

Appeal In all disciplinary cases: The employee has a right to appeal committee's decision to the CEO within ten working days.

8.2 Grievance policy

General

Employee grievances may arise as a result of dissatisfaction with working conditions or decisions taken by the management of an organisation. This could include complaints about their employment situation or disagreements with their supervisors or peers.

Grievances may be presented to the appropriate personnel verbally or in writing and the responses for the grievances are presented verbally or in writing.

Policy statement

Supply chain organisations ensure that employees' grievances are addressed promptly and in an objective and transparent manner. Employees should also be encouraged to present their grievances to the appropriate authority without fear and through the proper channels. Employees should also be given the opportunity to present their grievances to the highest decision-making authority through the channel if their complaints are not resolved by their supervisors or assigned personnel.

Applicability

This policy applies to all employees of the SC organisations regardless of their contract type.

Grievance procedures

The grievance procedures depending on the organisation. However, the following are the most common processes that SC organisations apply to manage employee grievances.

Employees may present their grievances to their first level supervisor/line manager, provided that the grievance is not related to a wrongful act committed by the supervisor. In cases where employees may have grievances with their supervisors, the complaint goes to the next level supervisor.

The supervisor may look into the grievance and arrange a meeting to discuss the grievance in detail.

The supervisor may discuss the complaint with the employee and resolve the issue amicably. However, if the employee is not satisfied with the resolution of the supervisor, HSCM organisations should have a system in place to support employees to present their case to the next-most-senior supervisor.

9

EMPLOYEE CODE OF CONDUCT

SECTION NINE: EMPLOYEE CODE OF CONDUCT

General

Health supply chain management organisations must ensure that SC employees display the highest level of professional and personal conduct.

The purpose of the code of conduct is to set out basic ethical practices for SC employees and serve as a guide for the basic standards of conduct to help SC employees make ethical decisions.

It is intended to provide guidance to SC employees and specifically how to consistently comply with the principles of the organisation's code of conduct.

This section is part of the *Working Conditions* pathway in the PtD HR4SCM ToC.

Policy statement

Health supply chain management organisations commit to bring about a culture of responsibility and accountability in the organisation. They also ensure the prevention of unethical behaviour and promote positive behaviour throughout the organisation.

Applicability

The content of this code of conduct is applicable to all SC employees in an organisation irrespective of their employment status or contract type. All SC employees are expected to observe an organisation's code of conduct at all times whether or not they are in active service with the organisation.

9.1 Basic standards of conduct

Basic standards of conduct are the ethical practices that arise from an organisation's policies and procedures. Supply chain employees have rights and expectations of organisations while they also have responsibilities and obligations that they should fulfil. Supply chain employees should abide by the ethical principles and values of the organisation and demonstrate those values in their day-to-day interactions with co-workers or stakeholders, internally or externally.

However, organisations may set out their own principles and ethical values depending on their mission and corporate objectives.

9.2 Rights and responsibilities

Rights of supply chain employees

- Be treated respectfully by others
- Be treated fairly for any opportunity in the organisation
- Be provided all the resources necessary during employment

- Be given the time and the briefing to become familiar with the organisation's policies, including its code of conduct
- Report the misconduct of any SC employees or organisation and be protected from retaliation

Obligations/responsibilities of supply chain employees

- Perform assigned duties as per the expectation of the organisation
- Demonstrate the highest level of integrity
- Respect others
- Be professional and accountable
- Observe and comply with organisational policies and procedures
- Ensure efficient use of the organisation's resources

Responsibilities of healthy supply chain management organisations

- Set out policies and procedures for the basic standards of a code of conduct
- Train SC employees on the standards of the code of conduct
- Ensure that all SC employees have access to the code of conduct
- Ensure that a reporting mechanism for misconduct is put in place to protect SC employees from retaliation
- Ensure that appropriate measures are taken in cases of misconduct

9.3 Conflict of interest

A conflict of interest occurs when SC employees' financial, personal or other interests interfere with the interests of the organisation.

Any conflict of interest damages the reputation of the organisation and affects the confidence of other stakeholders in the organisation's credibility.

The purpose of this provision is to raise awareness of the SC employees and avoid unnecessary interference of employees' interests and prevent them from misusing their official positions for their private businesses.

Applicability

The provisions apply to all categories of SC employees and people who are working with the organisation for a certain period of time such as consultants, interns, volunteers, seconded personnel and others.

Examples conflict of interest

Here are some of the examples where a conflict of interest appears in many HSCM organisations, however these examples are not exhaustive and HSCM organisations may list as many as possible in their code of conduct policy document to alert their employees and prevent them from being involved in such situations.

- **Employment:** when an employee helps a candidate in the selection process owing to his/her affiliation to the candidate, or when SC employees work for other organisation while they have full time employment agreement with the organisation.
- **Procurement:** when an employee favours a supplier in granting an award owing to the previous relationship/affiliation with the supplier.
- **Information:** when an employee discloses confidential information about the organisation to an outsider.
- **Finance:** when an employee has financial business with a company that has official dealings with the organisation.

Declaration of a conflict of interest

Health supply chain organisations should put a system in place to help SC employees disclose any actual or potential conflict of interest within the organisation.

In addition, appropriate administrative action should be pursued in the case of a conflict of interest by SC workers or affiliates of the organisation.

Supply chain employees who are involved in the investigation should not engage with the cases of those with whom they have a close relationship. They should not participate in decisions regarding the measures to be taken due to any misconduct. In all cases, a declaration of conflict of interest should be signed by all involved in the investigation or decision-making process.

Examples of a declaration of a conflict of interest

At CMST in Malawi, the Chief Executive Officer, directors, managers and heads of departments must declare their interests before participating in any decision-making process affecting other persons/organisations or process, for example, recruitment, appraisal, allocation/control of resources, awarding of contracts or offers to procure. Employees of the Trust should not participate in the discussion or determination of matters in which they have an interest.

In NMS Uganda, if an employee has directly or indirectly, through their family or other parties, pecuniary or other interests in any company, firm or trading undertaking, with which the corporation enters or is about to enter into contract of any sort, such and employee shall, without undue delay declare this to the general manager. Failure to abide by the above should lead to disciplinary action in accordance with the conflict-of-interest policy. The management of any conflict of interest should be governed by the policy on management of conflicts of interest that may be approved by the board.

9.4 Media relations and public statements

Unless authorised, employees are not allowed to make public statements or remarks to the media about any information about their organisation. If required by the media, authorisation should be sought from the approvers. It is good practice to train authorised employees in making public statements if it is anticipated that they will be

required to make such statements to the media, or meetings in which they represent the organisation.

9.5 Private use of organisational resources

Supply chain organisations must ensure that the organisational resources are strictly used for official duties. The following are the resources that SC staff may, in some cases, use for personal business.

Time: supply chain employees should spend office hours working strictly on official business only.

Vehicles: supply chain employees should not use the organisation's vehicle for their personal use. Supply chain employees should refer to the organisation's policy on whether the use of the organisation's vehicles is permitted in emergency situations.

Mobile phones: supply chain employees should minimise the personal calls they make with official mobile phones of the organisation.

Office technology: supply chain employees should use the organisation's computers, email, internet, photocopy machines and other office equipment for official duties and should keep their personal use of these resources to a minimum.

Health supply chain management organisations may set out procedures to limit the personal use of all the above resources with the intention of good conduct and prevention of conflicts of interest. In addition, employees should observe any related policies of the organisation.

9.6 Dress code

Although there is no standard dress code for all types of circumstances, SC workers should dress in a manner that reflects professionalism, respect for others and is appropriate for the work performed and in conformity with requirements of the health and safety standards of the organisation. At NMSF in Sudan, for example, a uniform is provided, which everyone wears; this has brought unity to the organisation.¹⁴

Based on the nature of the work, SC employees should also use their judgement in the way they dress when they travel to different locations where local customs are different from those at their work location.

If employees do not know, they should ask their supervisor or colleagues for advice. However, in meetings where the organisation is represented, formal dress is expected of employees.

¹⁴ National Medical Supplies Fund Sudan, "Reform of the National Health Supply Chain in Sudan: Achievements, Challenges, Success Factors and Lessons learned" 2015, 2nd Edition, page 45, < http://www.nmsf.gov.sd/includes/pdf/NHSC_in_sudan.pdf >, accessed January 2021.

9.7 Double employment

Organisations ensure that employees with full time employment should not have concurrent employment with another organisation; it should be a policy for organisations to prevent double employment.

9.8 Intellectual property

Health supply chain management organisations ensure that when SC employees produce any publications while they are on duty, all rights, the title, copyright or patent rights are assigned as the property of the organisation. However, even if employees produce a publication in their personal time and capacity on areas outside the work of the organisation, they should consult organisation's policy and procedures on intellectual property.

9.9 Record keeping or documentation

Health supply chain management organisations should put a record-keeping or documentation system in place to ensure the maintenance of the organisation's information, and the contents should be kept confidential.

Supply chain employees are expected to record accurate and complete information in line with the established procedures of the organisation.

Failure to keep records accurately would result in administrative actions to be taken in accordance with the procedures set out by the organisation.

9.10 Access control

To maintain the security of employees, unauthorised access to the organisation's premises should be prohibited. Supply chain employees should be required to carry their ID cards during their employment period and these should be returned when they leave the organisation.

9.11 Theft and loss of property

Theft is the unauthorised use or possession of organisation property or the property of a third party or the property of co-workers. This includes the misappropriation or embezzlement of the organisation's funds whilst on the organisation's premises or outside. The organisation should have zero-tolerance for any attempted theft and will take appropriate administrative actions in accordance with the policies and procedures.

Procedures

Supply chain employees should report any violations of code of conduct by their co-workers.

Organisations should ensure that the reporting SC employees be protected against retaliation and confidentiality should be maintained by both the employee and the organisations.

An investigation should be carried out by the organisation prior to taking any action.

Appropriate administrative decisions, as per the procedures of the organisation, should be taken.

9.12 Non-disclosure of information policy

General

Supply chain employees have a responsibility to avoid disclosing non-public, internal, confidential or proprietary information known to them that is related to the organisation or stakeholders because of their official positions.

Supply chain employees should be aware of how to treat confidential information as per the organisation's policy and procedures. Documents such as tenders, suppliers' information, customers' information, communication with partners and financial documents should be kept confidential.

Policy statement

Health supply chain management organisations should ensure that they put a system in place to handle confidential information and prevent any un-authorized disclosure of information.

Organisations also expect their employees to maintain confidentiality during their active service or afterwards, unless such disclosure is legally approved.

Applicability

The policy applies to all SC staff regardless of their employment or contract status and those who have already separated from the organisation.

Procedures

Health supply chain management organisations should prohibit the unauthorised disclosure of information or documents by SC employees. They should also set out procedures to prevent non-disclosure and take appropriate administrative action in cases of non-compliance to abide by the policies and procedures.

If deemed necessary, only authorised personnel should disclose limited information with the prior approval of the authority responsible in line with the procedures of the organisation.

Examples:

At CMST, Malawi, on engagement, employees should be required to sign an oath of secrecy form, agreeing to observe the strictest confidentiality in respect of all

transactions of the Trust. As part of this, they should pledge never to reveal or make known to any unauthorised person both during their period of service within the Trust and/or afterwards, any matter which may come to their notice or knowledge in the discharge of their duties except when required to do so by the CEO, or duly authorised officials of the Trust or a court of law or in the public interest as determined by the CEO.

10

ANTI-HARASSMENT AND NON-DISCRIMINATION POLICY

SECTION TEN: ANTI-HARASSMENT AND NON-DISCRIMINATION POLICY

General

The purpose of anti-harassment and non-discrimination policy is to ensure that HSC organisation workplaces are free from discrimination and harassment and that such behaviour is not tolerated.

Harassment is considered any behaviour by an employee that is directed at and is offensive to others which that person knows or should reasonably know, would be offensive, and which interferes with work or creates an intimidating, hostile or offensive work environment.

Harassment may involve a group and occur among and between all levels of SC workers. It is prolonged and persistent, however a single incident may also be considered harassment if it is serious.

Harassment includes discriminatory conduct, comments or displays related to race, religion, colour, creed, ethnic origin, physical attributes, age, gender, disability or sexual orientation.

Harassment should not be confused with provision of guidance or counselling on work performance or other work-related corrective feedback.

This section is part of the *Working conditions* pathway in the PtD HR4SCM ToC.

10.1 Policy statement

Health supply chain management organisations should exercise a zero-tolerance approach to any form of harassment and discrimination. They should ensure a work environment that is free from all forms of unlawful discrimination and an environment in which harassment and discriminatory behaviour are never tolerated. Health supply chain management organisations should also commit to set out procedures for reporting such behaviour, investigating the reported cases and taking appropriate administrative measures. Health supply chain management organisations should prohibit discrimination or harassment against an individual based on race, colour, religion, gender, national or ethnic origin, language, age, disability or sexual orientation.

Applicability

The policy applies to all employees regardless of their employment or contract status and those who have separated from the organisation. The policy also applies to the stakeholders of the organisations.

10.2 Sexual harassment

Harassment may take different forms and sexual harassment is one of the forms of harassment which includes unwelcome sexual advances, requests for sexual favours, unwelcome or unwanted written, verbal or physical conduct by any individual toward any other individual where submission to such conduct becomes a term or a condition of employment or basis for any decision or where the conduct creates an intimidating or offensive working environment.

Sexual harassment can occur in a variety of circumstances, including but not limited to the following:

- The victim as well as the harasser may be a woman or a man.
- The harasser can be the victim's supervisor, an agent of the employer, a supervisor in another area, a co-worker or a non-employee.
- The victim does not have to be the person harassed but could be anyone affected by the offensive conduct.
- Unlawful sexual harassment may occur without economic injury to or physical contact with the victim.
- The harasser's conduct must be unwelcome.¹⁵

10.3 Preventive and corrective measures of harassment and discrimination

Prevention of harassment and discrimination in a work environment is the shared responsibility of SC employees, supervisors and the organisation.

Responsibilities of health supply chain employees

- To observe and understand anti-harassment and anti-discrimination policy and procedures of the organisation;
- To report any discriminatory incidents that involve harassment through the appropriate reporting channels; and
- To cooperate with the responsible personnel in the investigation process.

Responsibilities of organisations

- To set out the policy and procedures and ensure that all SC employees have read and understand the policy;
- To ensure that SC employees are aware of their responsibilities and rights including the support system;
- To raise awareness in relation to the prevention and reporting procedures;
- To take appropriate administrative action when there is evidence that there has been breach of the policy;

¹⁵ Society for Human Resource Management, "What are the different types of sexual harassment?", 2019, <<https://www.shrm.org/resourcesandtools/tools-and-samples/hr-qa/pages/typesofsexualharassment.aspx>>, accessed June 2020.

- To provide leadership and guidance in the prevention of harassment by promoting an environment of respect;
- To put a system in place to protect SC employees who report incidents of retaliation;
- To monitor the workplace from time to time to identify discriminatory or harassment situations; and
- To assign a focal person on non-discrimination and anti-harassment case management.

10.4 Reporting and complaint procedures

Supply chain employees who have been subjected to or witnessed discrimination or harassment should immediately report the matter to the responsible personnel as per the procedures of the organisation.

Complaints of discrimination or harassment should be investigated immediately while respecting privacy and maintaining confidentiality. Organisations must however first stop the behaviour if it persists, prior to conducting any investigation.

Reporting procedures vary among organisations, however HSCM organisations should devise their own reporting procedures.

Health supply chain management organisations should have procedures for appropriate corrective action to stop the conduct and prevent its recurrence in the future.

The focal person for harassment with other assigned personnel should conduct investigations in accordance with the procedures of the organisation.

Decision

After any investigation, SC employees may be subject to disciplinary measures which may include a warning, suspension or summary dismissal, depending on the seriousness of the misconduct and as per the procedures of the SC organisation.

10.5 Appeal procedures

Health supply chain management organisations should have an appeals mechanism to enable an alleged employee to submit an appeal for further review. Once the appeal has been accepted and further investigations are conducted, the decision will be final.

11

ANTI-CORRUPTION AND WHISTLE BLOWING POLICY

SECTION ELEVEN: ANTI-CORRUPTION AND WHISTLE BLOWING POLICY

General

The anti-corruption policy should serve as a guide for raising the awareness of all supply chain employees of the procedures for reporting any corrupt practices and the appropriate preventive and corrective measures to be taken by the organisation.

This section is part of the *Working Conditions* pathway in the PtD HR4SCM ToC.

11.1 Policy statement

Health supply chain organisations should promote a policy of zero-tolerance to corruption as they work in a sensitive and high-risk environment where integrity is the main concern.

Reporting and investigative procedures should be put in place to protect those who report corrupt acts. Health supply chain management organisations should ensure complete confidentiality at all times while reporting and conducting an investigation.

Applicability

The policy applies to all employees regardless of employment or contract type; all stakeholders of the organisation should abide by this policy.

In most cases, corruption occurs while processing procurement or financial transactions. However, the human resources department, information technology department and administration in general including warehousing, distribution and security, may also be involved in corrupt practices.

Examples of corrupt practices

Here are examples of corrupt practices. However, Health supply chain management organisations may encounter more types of corruption based on the type of businesses they are operating.

Human resources

- Hiring of supply chain employees without following proper recruitment procedures;
- Promoting friends or relatives without merit-based assessment; and
- Nominating friends for scarce learning opportunities.

Procurement

- Procuring medicines and medical supplies without following proper procurement procedures;
- Awarding contracts to suppliers without a competitive procurement process;
- Making bulk purchases for emergency operations without the approval of the responsible authorities; and
- Procuring sub-standard office supplies.

Logistics

- Unauthorised use of the organisation's vehicles for private use or other personal purposes outside of the organisation;
- Inflating prices for medicines or medical supplies that are not easily available in the market;
- Hoarding scarce medicines and supplies to create an artificial shortage on the market;
- Damaging medicines on purpose (to receive insurance payments); and
- Falsifying stock cards.

Finance

- Processing payments without proper receipts and documentation; and
- Manipulating receipts for double payments.

11.2 Whistle-blower protection policy

This policy ensures that HSC organisations protect employees reporting any act of corruption. Supply chain employees are very much encouraged to report any corrupt act whenever they believe valid information exists. Thus, whistle-blowers can feel confident that the information they provide is treated in strict confidentiality and that it will be reviewed and investigated accordingly.

If SC employees or organisations wish to retaliate towards those reporting the actions of corruption, the policy should have a provision of protection mechanism to take appropriate disciplinary action to address the misconduct.

Health supply chain management organisations should ensure that there is a system in place to protect those who report the acts of corruption to the appropriate authorities from retaliation.

However, SC employees should also be careful to refrain from making false allegations as this is also considered malicious misconduct and will lead to appropriate disciplinary action being taken.

Applicability

The policy applies to all SC staff in the organisation regardless of their employment status. In addition, those working with the organisation under different arrangements should also be governed by this policy. Stakeholders also have the responsibility to report any corrupt practices in the organisations that they are affiliated with.

Confidentiality

Organisations have a responsibility to maintain the privacy of whistle-blowers and also keep information confidential to protect SC employees who report acts of corruption.

11.3 Reporting procedures

If SC employees suspect corrupt practices are taking place, they are responsible for reporting this to their organisation. They should report any corruption through the proper channels of reporting while maintaining privacy and confidentiality.

Supply chain employees may provide evidence of corrupt practices and cooperate with the investigation team when investigations are conducted by organisations.

Supply chain employees may opt for other reporting mechanisms like anonymous reporting if the organisation's procedures allow it.

11.4 Investigations and resolution procedures

Health supply chain management organisations should have procedures to take appropriate action to stop malpractices and prevent their future recurrence by promptly investigating the reported cases.

The department responsible for the investigation of such corrupt cases reviews and investigates the information in accordance with the procedures of the organisation.

Based on the outcome of investigations, a decision should be reached by the responsible authorities.

Supply chain employees may be subject to disciplinary measures which may include warnings, suspension or summary dismissal, depending on the seriousness of the conduct and as per the procedures of the organisation.

11.5 Gifts, hospitality and entertainment

It should be the policy of HSC organisations to ensure that employees in their official positions should not accept or offer gifts as a result of business dealings made with the organisation.

Supply chain employees have also a responsibility to read and understand the organisation's procedures on gifts, hospitality and entertainment in order to protect themselves from any misconduct related to accepting or offering gifts.

Supply chain organisations should have procedures regarding the handling of gifts, hospitality and entertainment, favours, loans, commission, or any other benefit of monetary value.

Employees should refrain from such practices, however organisations, through their procedures, should determine the minimum monetary value of an item that could be accepted or offered by employees.

In some circumstances, SC employees may accept gifts in fear of offending the giver. Upon acceptance of gifts, however, the employee should immediately disclose the gifts to the responsible focal person.

Supply chain employees should also report such practices if co-workers happen to accept or offer gifts.

Accepting or offering gifts should be considered as misconduct and appropriate administrative measures should be taken as per the procedures of the organisation.

12

ENVIRONMENTAL AND OCCUPATIONAL SAFETY AND HEALTH POLICIES

SECTION TWELVE: ENVIRONMENTAL AND OCCUPATIONAL SAFETY POLICIES

General

Environmental and occupational safety is the wellbeing of HSC employees while they are at work.

Due to the nature of their work, HSC organisations have relatively higher environmental and occupational safety hazards than organisations in other fields. Therefore, HSC organisations should ensure that they put a safety system in place to use, receive, handle and store medicines, medical supplies and medical equipment.

Health supply chain management organisations should ensure that their employees have a safe environment and healthy working conditions by setting out a policy and procedures for environmental and occupational safety. Such a policy helps to reduce workplace injuries, illnesses and deaths.

Health supply chain management organisations should also educate their employees on the policies and procedures and SC employees should understand the policies and observe all applicable laws with regards to environmental and occupational safety.

The purpose of this policy is to serve as a guide for SC employees to work safely and prevent injury to themselves and others.

This section is part of the *Working Conditions* pathway in the PtD HR4SCM ToC.

12.1 Policy statement

Organisations have the primary responsibility of ensuring the safety and wellbeing of their SC employees. Organisations should commit to creating and maintaining a safe and healthy working environment and consider the promotion of occupational safety matters as a mutual objective of every employee and their supervisors.

Organisations should work to reduce foreseeable occupational hazards and prevent personal injury and damage to property by establishing standards for environmental and occupational safety and health.

Applicability

The policy applies to all SC employees regardless of employment status.

12.2 Responsibilities

Responsibilities of employees

Supply chain employees have the right to seek safety and remain healthy on the job. They also have a responsibility to maintaining a safe environment. Their responsibilities are: -

- To comply with the safety policy and procedures of the organisation;
- To report incidents that may lead to injury or sickness and cooperate with any investigation;
- To take reasonable care of the health and safety of themselves and all colleagues;
- To take reasonable care of their own safety and that of other persons who may be affected by their acts or omissions;
- To use safety devices and protective equipment correctly at all times; and
- To report any situation that may present a potential hazard.

Responsibilities of supply chain organisations

- To set out a policy and procedures to maintain and ensure a safe and healthy work environment;
- To provide training to SC employees on prevention and control of hazards and protection against potential risks in the workplace;
- To orient new SC employees on occupational safety policies and procedures;
- To provide the necessary protective clothing and equipment, personal or otherwise;
- To provide first aid facilities and fire extinguishers at all work locations;
- To train SC employees on safety tools and how to use safety equipment;
- To regularly assess the safety hazards and update the policy and procedures as needed;
- To provide compensation for work-related injuries and diseases and support in the rehabilitation of SC employees to enable them to quickly return to work;
- To allocate resources for the management of occupational safety programmes;
- To support the establishment of a safety committee within the organisation; and
- To assess the compliance of staff on the safety policies and procedures.

12.3 Prevention of safety hazards

Organisations should establish a safety committee to manage workplace safety and health matters.

The safety committee, along with other internal stakeholders, should work together to identify any hazards and take the necessary actions to respond to them.

Due to the nature of their work, SC employees should also be encouraged to use the safety equipment provided by organisations; they should make use of the devices at all times while they are on duty.

Health supply chain management organisations should orient SC employees on safety and health upon joining the organisation as it is the joint responsibility of SC employees and the organisation.

Health supply chain management organisations should also train all supply chain staff on first aid and provide other safety refresher training and ensure compliance.

Organisations may provide safety gear, uniforms, protective clothing and accessories such as safety shoes, ear protection and glasses, specialised protective clothing, gloves, reflective vests and helmets to SC workers should it be required. Raincoats and road safety kits, meanwhile, should be provided to transport workers.

Procedures

A reporting mechanism should be put in place for any environmental and occupational safety hazards.

Supply chain employees should also report any occupational safety hazards to the assigned personnel in line with the procedures of the HSCM organisation.

Employees should also report accidents and incidents whenever they encounter safety and health hazard situations.

Organisations should set out a policy to ensure that accidents and incidents are reported and state that failure to do so may result in disciplinary action being taken against employee.

The health and safety committee has the responsibility to develop and the authority to implement the health and safety programme in the interests of a safer work environment.

Responsible employees should promptly respond to any reports by correcting or improving hazards.

In cases where SC employees are injured or die as a result of work-related accidents or occupational diseases, the organisations should be covered by an appropriate insurance scheme.

12.4 Workplace violence

Organisations should have a zero-tolerance policy towards workplace violence and should not tolerate such behaviour. Workplace violence behaviour includes bullying, intimidation, harassment, abuse and shouting.

12.5 Drugs and alcohol abuse

Health supply chain management organisations should set out a policy to prohibit the use of illegal drugs on workplace premises.

Drivers and other transport workers within the SC management should be strictly forbidden to work under the influence of alcohol while operating their vehicles.

Organisations should offer an employee support system for SC employees who have difficulties working without the use of drugs or alcohol.

Organisations should set out procedures to prohibit the use of drugs and alcohol in the workplace. A reporting mechanism and appropriate disciplinary measures should be applied for those who violate the policy.

12.6 Security policy

Health supply chain management organisations should ensure their employees have a safe and secure workplace. A security policy should be set out to prevent workplace aggression and violence, preventive measures and effective responses.

Organisations are also responsible for establishing reasonable controls to protect their employees from security threats.

Training on security procedures, including reporting mechanisms, should be provided to all SC employees regardless of their employment status.

New SC staff should also be educated on the organisations' security policy and procedures.

An information communication technology (ICT) security policy should be part of the ICT policies and procedures.

12.7 Weapon free workplace policy

Health supply chain management organisations should maintain a safe work environment for their employees and being in possession of weapons, explosives, firearms or any sharp material that may harm life or property on the premises of the organisation should be strictly prohibited. However, the prohibition should not apply to authorised professional security personnel.

Appropriate administrative action should be taken in line with the procedures of the organisation if employees bring weapons into the workplace. Supply chain employees should also report the carrying of weapons by co-workers to the appropriate department.

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