

F.No. 10(27)/2019-NHM-I  
Government of India  
Ministry of Health & Family Welfare  
(NHM-I Division)

Nirman Bhawan, New Delhi  
Dated the 4<sup>th</sup> April, 2019

To,

**Shri Pankaj Kumar**  
Mission Director (NHM)  
Department of Health & Family Welfare  
Government of Uttar Pradesh,  
Om Kailash Tower 19-A,  
Vidhan Sabha Marg,  
Lucknow – 226 001, UP

**Subject: - Draft HR Policy for NHM, UP for the FY 2019-20 – approval regarding.**

Sir,

Please refer to your letter No. SPMU/NHM/Accounts/2018-19/284/11528 dated 08.02.2019 seeking approval of this Ministry for the draft HR Policy of NHM, UP for the FY 2019-20. In this regard inputs of this Ministry are enclosed for further necessary action.

Encl: as above

Yours faithfully,

*RK Arya*  
30/4/19

(Rakesh Kumar Arya)  
Under Secretary (NHM-I)  
Telefax: 011-23062108

## Comments on - UP HR Manual for NHM contractual

The received draft policy is generic in nature and State would need a HR manual listing the specifics to ensure good implementation. The very few specifics which were there in the last HR policy have either been removed or made too lax. E.g for Termination of contract for an absconding contractual HR which was one month earlier has now been increased to two months. In a mission mode even one month is too long.

### **General comments**

1. To ensure quality of recruited staff, it is strongly recommended that competency based tests are included – along with the interview process. The AS&MD has sent a DO on this (No. 7 (45) 2014 NRHM I; dated 19 Jan. 2015).
2. A systematic training plan and training calendar should be prepared for each health functionary, keeping in mind their training needs. This could be maintained electronically as a Training Management Information System (TMIS) and linked with HRMIS, if available – and functional.
3. The linking of performance management with the award of raises/incentives is a good idea, but the key performance indicators or a systematic performance appraisal framework have not been provided. This will be required to make the process objective, transparent and fair.
4. The purpose listed for HR planning seems to be relevant only for contractual staffs to be deployed in the hospital/health facility setup. Needs inclusion of all staffs under NHM including administrative/ management staffs.
5. HR planning process – should include the approval process for creating new posts prior to appointment. The statement “Recruitments of all the posts shall be made on contract on approval from Government of India only. The honoraria for payment to the contractual employees shall not exceed the approval given by GoI for the said post” to be mentioned under HR planning process
6. Determination of the number of personnel needed – clear definition of the four steps involved i.e. Forecasting, Inventorying, Anticipating and Planning. IPHS should be the base for determining maximum HR in a Health facility. Regular, contractual and any other HR posted to be taken into account. Planning has to be system wide and not only for contractual.
7. Source and mode of recruitment – clear definition and process involved in the 2 modes of recruitments (deputation and open market) mentioned is needed. This should also include guidelines on advertisements.
8. Process of Recruitment – process to be detailed including process of screening application, level of interviews, method of skill test to be followed,
9. Include “Reference checking” mechanism in recruitment – including checking candidate’s employment history, academic/ professional qualification etc.
10. Medical Check-up at the time of 1st Contract – specify the reason for requirement of medical check-up. Also define “The contract will be valid only if the selected candidate is medically fit”. Ensure steps to be taken towards “No denial of job opportunities for candidates with HIV / differently abled in any area of work’

11. Process of internal mobility i.e. consideration of suitable internal employee for specific role prior to recruitment from external source can be vetted. However, proper guideline on internal transfer is to be prepared for this.
12. Handover guideline should be introduced to help with a smooth job transition. Should be in accordance with termination/ resignation period.
13. Internship with NHM, UP – The educational programmes of interns/ young fresher to be given opportunity to work under NHM is to be listed including process of selection and involvement. Necessary logistic support will be provided to the intern taking into account the functional requirements.
14. The frequency of work appraisal as per the policy is mentioned as bi-annual and Increment/ Termination of staffs is linked to average score received during work appraisal. However it is not clear if the output is to be determined using the composite score of the work appraisal for the months of August and January
15. Performance Appraisal – “The raise in honoraria of contractual employees shall be a maximum of 5-10 % annually as approved by GoI on approval from Executive Committee”. It should be “5-10 % of base honoraria as performance incentive is also included.
16. This shall be subject to, if the contractual employee has not received any negative remarks in the previous year.” – The term “negative remarks” is very subjective. Needs to be defined.
17. Hours of Operation/Work Schedules – Point VII is to be shifted and made as Point I. These have been provided for employees at the state and DH level, but not for facilities below that level. This needs to be spelt out too.
18. Policy/ guideline to be set out on:
  - a. Staff's compliance requirement regarding maintaining confidentiality (including information sharing mechanism within team, information sharing with third party, information sharing with other agencies) in relation to information relating to “material non-public information”
  - b. Maintenance of privacy by employer related to any personal information of candidates collected as a part of recruitment process and existing employees of NHM.
  - c. Intellectual property/ copyright
  - d. Dress code (if any)
  - e. Prohibited behaviour of the employee including theft, fraud, drug/ alcohol abuse etc.
  - f. Transfer policy – as the guideline suggests transfer of employee to other position/ location. There should be a written policy on the principle and basis for transfers and postings – along with any exceptions. These should preferably be web-based and transparent to ensure fairness. Some states (e.g. Karnataka and Kerala) have developed these and UP can use these examples to develop their on postings and transfer policies.
  - g. Prevention of sexual harassment and redressal policy- including procedure for:
    - i. Constituting internal complaints committee
    - ii. Lodging complaints



- iii. Dealing with complaints
  - iv. Conduct inquiry
  - v. Responsibilities of employee/ employer under this policy
19. The policy will need amendments/ review at regular interval. State to set time frame for reviewing of the policy and committee to be responsible for the same.
  20. The state should get the policy vetted by a legal person.

### Specific comments

- Chapter 2 (first page – contractual employee) – the duration of the contract of employment needs to be mentioned clearly in the contract
- Chapter 4 (second page – medical check-up at the time of first contract) – It should be specified who will conduct the medical check-up for people offered employment(e.g. an empanelled group of clinicians authorized by the state)
- Chapter 10 (first page) – the fourth point should include the words “allegation of”, i.e. it should be ‘Investigation on allegation of sexual abuse to female contractual staff’.
- Chapter 12 (first page – first point under “other rules”) – the policy should mention the sort of information that should not be shared with others without approval of the competent authority (e.g. any information pertaining to the state NHM)
- Chapter 12 (fist page – last point under “other rules) – the second line should indicate that sanctioned leave is being discussed, i.e. ‘Under unavoidable circumstances, the sanctioned leave can be cancelled by the competent officer.’