

Leadership succession planning in the healthcare system in same district, kilimanjaro region, Tanzania: exploring practices, barriers and facilitators

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**LEADERSHIP SUCCESSION PLANNING IN THE HEALTHCARE
SYSTEM IN SAME DISTRICT, KILIMANJARO REGION,
TANZANIA: EXPLORING PRACTICES, BARRIERS AND
FACILITATORS**

By

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**A Dissertation Submitted in (Partial) Fulfillment of the Requirements for the Degree
of Master of Public Health of**

**Muhimbili University of Health and Allied Sciences
October, 2019**

CERTIFICATION

The undersigned certify that they have read and hereby recommend for acceptance by Muhimbili University of Health and Allied Sciences a dissertation entitled: “**Leadership succession planning in the healthcare system in same District, Kilimanjaro Region: Exploring practices, barriers and facilitators**”, (partial) in fulfillment of the requirements for the degree of Master of Public Health of Muhimbili University of Health and Allied Sciences.

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DECLARATION AND COPYRIGHT

I, **Mwajuma M. Nyika**, declare that this **dissertation** is my own original work and that it has not been presented and will not present it to any other university for a similar or any other degree award.

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Lastly but not the least, is my sincere thanks to almighty God, who has been the divine source of my strength, joy, and hope amidst all life issues. To him be the glory and honor.

DEDICATION

This dissertation is dedicated to my incredible husband, Mr. K.N. Gladson, who has endured the master degree study journey. Without you, none of this was possible. I also dedicate this to my beautiful children, Joel and Joan, please always strive to remain truthful, courageous, teachable, loving, and God fearing. Hard work, faith, and patience often pay. Moreover, continue to remember that: “It is not good to have zeal without knowledge, nor to be hasty and miss the way” (Proverbs 19: 2).

ABSTRACT

Background: Succession planning is perpetuating the enterprise by filling the pipeline with high performing people to ensure that every leadership level has an abundance of these performers to draw from, both now and in the future. Often succession planning is lacking or ill-defined or poorly practiced in the health care systems.

Objective: This study aimed to explore leadership succession planning in Same District health system by examining the practices, facilitators and barriers of succession planning implementation.

Methodology: Qualitative exploratory case study research method was employed in this study. The nature of this research required the qualitative explorative research and case study in order to allow an in-depth exploration of views from health managers and health workers who have real life experiences of the way leadership succession planning is done by citing examples from one district. Participants of this study included managers of the District health system, Human resource department and District Executive Director

Results: Research findings identified succession planning practices that involves career development plans, availability of updated seniority list and presence of Performance Appraisal and Review System. There were facilitators that are influencing the implementation of SP in Same District Health System, these are: delegation of responsibilities, fund availability, mentoring and orientations, carrier development plan, on job training programs as well as involvement of junior staff in managerial activities. Challenges identified to hinder SP were: lack of clear policy and guidelines, budget and financial limitations, human resource shortage as well as leader's perception on job description.

Conclusion: There are two main premises when it comes to SP. One premise, which is evident in the research for this study, is that a well-planned and executed SP makes all employees valuable and the second is that changes always occurs. Leaders of healthcare organizations do not put emphasis on developing leadership competencies and abilities, but rather on technical knowledge.

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LIST OF ABBREVIATION

BRN	Big Results Now
CHMT	Council Health Management Team
HRH	Human Resource for Health
HRHSP	Human Resource for Health Strategic Plan
IDIS	In-depth interviews
MUHAS	Muhimbili University of Health and Allied Sciences
NCHL	National Center for HealthCare Leadership
OPRAS	Open Performance Appraisals
PHS	Public Health System
QI	Quality Improvement
SP	Succession Planning
US	United States

OPERATIONAL DEFINITIONS OF TERMS

Leadership: Is the ability of a company's management to make sound decisions and inspire others to perform well. Effective leaders are able to set and achieve challenging goals, to take swift and decisive action even in difficult situations, to outperform their competition, to take calculated risks and to persevere in the face of failure. Strong communication skills, self-confidence, the ability to manage others and a willingness to embrace change also characterize good leaders(1)

Succession Planning: A systematic approach to ensuring leadership continuity within an organization by recruiting and/or encouraging individual employee growth and development(2)

Health system: Also sometimes referred to as health care system or as healthcare system, is the organization of people, institutions, and resources that deliver health care services to meet the health needs of target populations(3)

Human Resource for Health: Refers to all people engaged in actions whose primary intent is to enhance health. HRH is the core blocks of a health system. The field of Human Resource for health deals with issues such as planning, development, performance, management, retention, information, and research on human resources for the health care sector(3)

CHAPTER ONE

1.0 INTRODUCTION

1.1 Background

Succession Planning is a systematic approach to ensuring leadership continuity within an organization by recruiting and/or encouraging individual employee growth and development (2). French pioneer of management history, was among the first to recognize and document the universal organizational need for succession planning. However, effective leaders down through the centuries have developed and implemented succession plans for their organizations (4). Succession planning is critical to every organization and is based on undeniable premises as no person is indispensable and change happens. Succession planning is not just planning how to fill the leader position. It should be a comprehensive organizational key strategic process for every critical position in the organization. It includes the process of work force development as the means of elevating the next generation of individuals into leadership positions. Succession planning is about maintaining leadership continuity and developing the best and brightest individuals in the organization. Succession planning is more than just a way of picking the next leader to identify, retain, and prepare managers who can be dependable replacements in emergency situations(5).

A main factor which influences the succession planning is the role of human resource development, which includes organizational development, career development and the learning and development of potential successors (6). Rothwell explains some practices which can help the success of succession planning efforts. These factors include: clarifying the aim and the desired results of the effort, determining the requirement of the current performance, measuring the performance, determining the performance which is needed for the future, assessing the potential candidates, establishing a way to narrow the gaps, following up, documenting competence, making and maintaining rewards for developing people, evaluating results and leading from the front(7).

Study done by Brian Wilkerson on the Effective Succession Planning in the Public sector in North America shows that, succession planning in the private sector has been more formalized than in the public sector, which has begun to look at it systematically only recently. Similarly, there has been a lack of focus on succession planning in nonprofits, although the need there is just as pressing. The loss of experienced leaders without adequate replacements can have a substantial, immediate negative effect on an organization.(8).

Succession planning face some barriers for implementation like unwillingness of top managers to train the junior staff, lack of knowledge on the concept of succession planning and how it works in their organizations(9). This lead to loss of key talents with specialized skills as a result organization incur more cost on recruiting outside, lost the culture.

Experience in high-income countries shows the best practices of succession planning that include: 1) implement formal mentoring programs and create opportunities for informal mentoring; 2) develop challenging action learning assignments for high potential managers; 3) implement organization-wide forums to expose high potential managers; 4) consider a diverse range of internal candidates for succession and avoid grooming an heir apparent; and 5) modify executive performance appraisal processes to ensure active participation and commitment to succession planning(1). Additionally the study done in Washington shows that, succession planning is practiced through feedback assessment as a tool to help identify area of growth is given, job rotation, career development plan, mentoring and coaching, formal meeting to develop job descriptions, limit some or all recruitment to internal applicant only(10).Also other studies shows the important factors influencing the implementation such as training, management support, clarifying the career path, creating a positive vision, strong organizational culture, technology advancement, flat structure and financial conditions(6).

The experiences from developing countries show that succession planning is a time-consuming and costly process which requires systematic planning and efforts(11). Succession Planning is locally practiced in most organizations that is through oral interview in selecting the successors followed by written examination and employee history(12). It is evidenced to be there but poor in implementation due to factors largely attributed to lack of senior

management support (11). Though there is a significant relationship between succession planning and performance appraisal, yet no formal implementation of the plan (13).

In Tanzania, Succession planning is not practiced in most organization where by the study done by Jackson Muhoho on challenges of Human Resource SP in public and private work organization based in Dar es salaam shows that there is no policy in place for succession planning, most employees had no knowledge on succession planning as being practices in the organization (14). Although, Succession planning helps in recruitment of the best fit people to take over future key openings, helps in developing of skills knowledge and abilities of the successors while preparing them for promotion, ensure continuous development of the employees to fill vacancies (4), Human Resource and Social welfare Strategic Plan (2014-2019) shows that, more emphasis is given to projection of staff numbers and less attention is given to issues like succession plan (15).

Today, most organizations have a system in place to ensure leadership continuity in key positions, retain and develop intellectual and knowledge capital for the future, and encourage individual advancement(9). With the advent and aggressive expansion of the global marketplace, organizations are faced with increased pressure to identify individuals who possess the skills and qualifications necessary to lead the organizations in the challenging today's environment. Many senior leaders have learned that the distinguishing characteristic of successful organizations is the ability to identify, develop, and deploy exceptional leadership talent (13).

1.2 Problem Statement

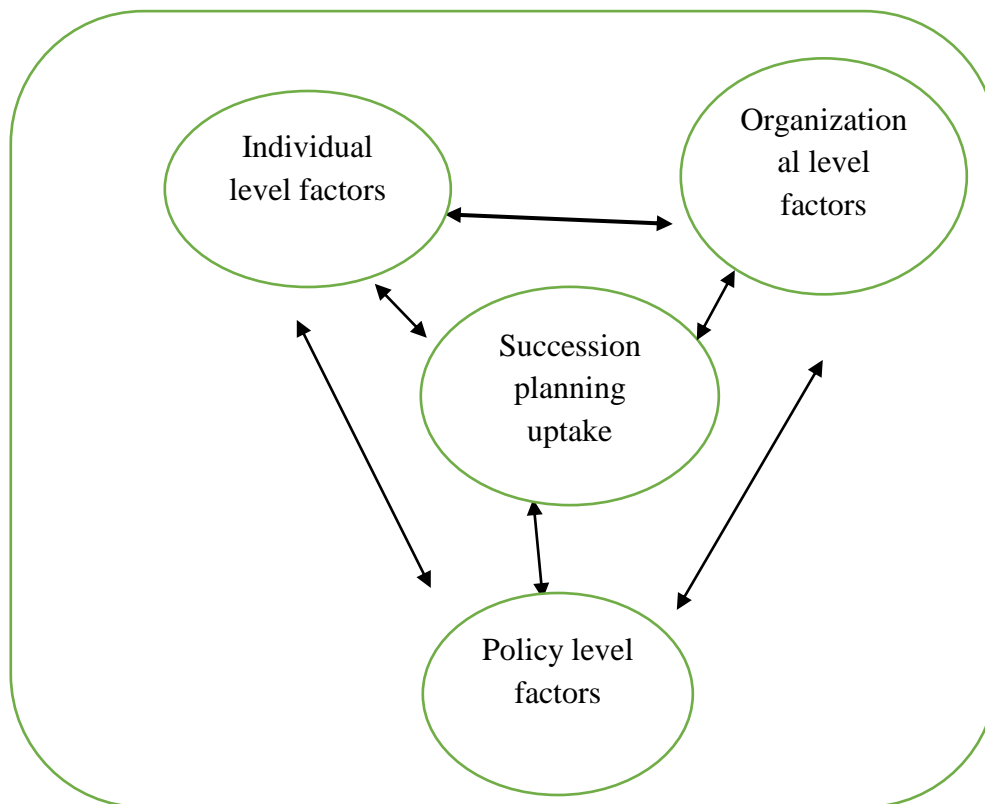
With Succession Planning, an organization understand the critical jobs and positions that need not be left vacant as they can cause breakdown in the system, such job can only be done by the most qualified people. Well-done succession planning ensures organization continuity, retain organization memory, future of work and retention of existing talents and helps to reduce the cost of external search of candidates. There is a challenge of Human Resource management at all levels that is largely due to poor succession planning practices. Therefore, with succession planning the gap can at least be filled through sharing of experience within the organization, attrition rate can be reduced through retention and motivation of health worker.

Despite this fact, many organizations lack these crucial processes hence remain vulnerable to meltdown. The study done in Don Consult and Netwas companies, Dar es salaam Tanzania shows that, organization's succession planning processes are hindered by various factors including lack of appreciation on the importance of succession plan by top management and employees, resources constraints, ignorance, conflicting and overlapping mandate and absence of policy documents(12).

Despite the fact that many studies have been done on leadership practice's succession planning, still most of them have been done in high-income countries like US, Asia, Iran and a few studies done in Tanzania are not focusing on leadership succession planning in health system organizations. This study therefore will explore leadership succession planning in healthcare system in Same District in Kilimanjaro Region, Tanzania by focusing on the practices, facilitating factors as well as barriers for the implementation.

1.3 The Conceptual frame Work

This study was guided by the researcher's conceptual model as designed to show different levels for the implementation of succession planning in the District healthcare system in Tanzania(17). Succession planning practices are influenced by many factors ranging from individual level factors, organization level factor as well as policy level factors. Individual level factors may include leaders perception on succession planning, leaders job description interpretation together with power struggle (18). Organizational level factors included training, management support, clarifying the career path, creating positive vision, strong organization structure as well as financial conditions (6). Policy level factors may include availability of guidelines and availability of assessment criteria. The lack of considering these factors is a threat to the system. Generally, this is not analytical tool, it is a guide to help the researcher in data collection.



Source: Researcher's own construct 2018

1.4 Rationale

Today's environments are changing rapidly that organizations are facing serious unpredictability and uncertainty, which sometimes causes instability in the organizational operations. In this dynamic environment, organizations need to rely on the most important assets: their people where it is believed that with effective succession planning, one block of Human Resource Management, may help to minimize the rate of attrition of Health workers which is 6.8%(19) due its role of retention and motivation of employees. Furthermore, the research study shall make contributions to the knowledge of the Human Resource field. It will add to the existing literature regarding succession planning. The study may be used, by decision makers when developing policies concerning succession planning. It will especially be important to Same District to help them improve in terms of Succession planning practices.

1.5 Main Research Question

What are the existing leaders' succession planning practices and what facilitate or hinder their implementation in Same District Healthcare System?

1.5.1 Specifics Questions

1. What are the existing leaders' succession planning practices in the healthcare system level in Same District?
2. What are the facilitators for implementation of leaders' Succession planning in healthcare system in Same District?
3. What are the barriers for implementation of leaders' succession planning healthcare system in Same District?

1.6 Objectives

1.6.1 Main Objective

To explore the existing leaders' succession planning practices, facilitators and barriers to their implementation in Same District healthcare system.

1.6.2 Specific Objectives

1. To assess the existing leaders' succession planning practices in the district health system level.
2. To identify facilitators for implementation of leaders' succession planning in health system
3. To identify barriers for implementation of leaders' succession planning in the district health system.

CHAPTER TWO

2.0 LITERATURE REVIEW

2.1 Introduction

Succession planning is the means by which an organization prepares for and replaces managers, executives and other key employees who leave their positions, and is critically important to the organization's continued and future success. It includes processes such as how the organization identifies and recruits's successors, how it manages transitions from one executive to another and how it develops successors. Succession planning can also involve identifying "high potential" employees and including them in special training and development for future management roles. The practice of succession planning is key to sustaining an organization's initiatives and performance and to ensuring it meets its mission even in the face of turnover(8). Succession planning allows an organization to prepare for the absence, departure, death, retirement, or termination of an individual; it provides for continuity of culture and the evolution of necessary skills for an organization (14).

Tanzania has a hierarchical health system which is in tandem with the political administrative hierarchy. At the bottom there are the dispensaries found in every village where the village leaders have a direct influence in its running. The health centers are found at ward level and the health center in charge is answerable to the ward leaders. At the district there is a district hospital and at regional level a regional referral hospital. The tertiary level is usually the zone hospitals and at national level there is the national hospital. There are also some specialized hospitals which do not fit directly into this hierarchy and therefore are directly linked to the ministry of health(15).

2.2 Succession planning practices

Companies that do it right as measured by bottom-line results seem to follow all if not most of ten best practices in implementation of succession planning that includes frequent talents review, accountability of executive team of succession planning implementation, strategy and serious commitment to development must be made by allocating resources such as time,

financial and human resource (20). In order to implement effective succession planning an organization need to follow the following key steps: assessment of key position, identification of key talent, assessment of key talent, generation of development plan and development of monitoring and review (21,22).

Human Resource plays a very critical role of the planning of organizational structures, as such a flat structure is ideal as it influences succession planning since it allows better communication and easier knowledge sharing in the organizations, which are parameters that would greatly help in implementation of succession planning(6). Angeles indicate the best practice of succession planning in health systems that includes formal and informal mentoring programs, create action learning, project -based stretch assignments that truly change high potential managers, consider internal candidates for recruitment as well as incorporating performance appraisal with succession planning(23).

Best-practice organizations use a core set of leadership and succession management competencies. Engaging Future Leaders: Best-practice organizations emphasize the importance of specific, individualized development plans for each employee. Individual development plans identify which developmental activities are needed, and the “best practice” firms typically have a mechanism in place to make it simple for the employee to conduct the developmental activities. Best-practice partners rely on the fundamental developmental activities of coaching, training, and development most frequently and utilize all developmental activities to a much greater extent than the sponsor organizations(13).

Moreover, Best practice organizations effectively integrate leadership development and succession planning systems by fully utilizing managerial personnel in developing the organization's mentor network, identifying and codifying high potential employees, developing high potentials via project-based learning experiences and manager-facilitated workshops, establishing a flexible and fluid succession planning process, creating organization-wide forums for exposing high potential employees to multiple stakeholders, and establishing a supportive organizational culture (24).

A study conducted in Tanzania have looked on the Challenges facing human resources succession planning in work organizations. The researcher was interested in understanding if the organizations practice human resource succession planning. The study findings indicate that (33.3%) of the respondents showed that their respective organizations practised human resource succession planning. (51.7%) of the respondents shows that the organizations did know how to conduct succession planning(14).

Organization often fail to utilize managerial personnel effectively for leadership development and succession planning system, and many execute these critical practices through separate Human Resource functions that shift the responsibility to leadership development away from line managers. With this reason, the study explored the existence of leadership's succession planning practices in the health systems in order to identify areas that needs improvement.

2.3 Facilitators for implementation of leaders' succession planning

Mehrabani conducted a study on important factors influencing the implementation of Succession Planning shows that executives and top managers should be committed to the concept of succession planning and must support implementation of the system. Staff also, have to support the activities of the plan. In addition, a link between succession planning systems with other human resource systems and activities is needed. Moreover, an appropriate organizational structure and job engineering to protect experiential learning is required. Furthermore, organizational commitment for promotion from within is needed as well as coaching, mentoring, and giving feedback and other methods in training. Additionally, accountability for implementation of developmental plans should be obviously stated. Evaluation of the system and plan also must be considered in the human resources duties(13).

Other study explains some practices which can help the success of succession planning efforts. These factors include: clarifying the aim and the desired results of the effort, determining the requirement of the current performance, measuring the performance, determining the performance which is needed for the future, assessing the potential, establishing a way to

narrow the gaps, following up, documenting competence, making and maintaining rewards for developing people, evaluating results and leading from the front(23).

Same ideal was given in the study done on Identifying the Important Factors Influencing the Implementation of Succession Planning in Iran's private Bank identifies the main facilitators which influence the implementation of effective succession planning, that are: training, management supports, clarifying the career path, creating a positive vision, strong organizational culture, technology advancement, flat structure, financial condition. In addition, the participants were on this belief that lack of each mentioned factors can act as a barrier to implementation of succession planning system(6).

Different facilitators have been laid forward but the extent of which these factors operate in different organizations is very low and to some organization they are not known. Therefore, this study identified facilitators for implementation of succession planning in health system so as to get a clear insight since information provided was so far limited.

2.4 Barriers to leaders' succession planning

Study conducted in Canada on succession planning for librarians have grouped the barriers under group of budget, transparency and fairness, organizational and knowledge transfer that affecting the succession planning process (1). Others studies shows that succession planning is critically important to the health of the organization but the implementation face some barriers that include low on the priority ladder where the majority of work time was consumed by day-to-day activities or putting out fires, insufficient staff and time(22).

The key findings of the study conducted in Florida on succession planning for nurses leaders included a description of leadership competencies, aging and less diverse than the general population and report limited utilization of succession planning by their organization as the challenges for the succession planning in their organization(25). Study on succession planning conducted in India's organizations has look on the challenges which were grouped under two categories: the challenges which arise due to the process also included the technology related issues.

Various barriers which occur in process include non-formation of talent pool and lack of clarity in future needs. Meanwhile, lack of assessment tool came out to be examples of technology challenges were the respondents agreed that creating a talent pool was a major challenge in succession planning. Followed by inability to identify future needs was also observed in majority of responses. Technology usage challenges including assessment tools, candidate search tools, performance management tools, career profiling tools, key position identifying tools. And challenges due to the process including inability to create a pool of candidate, lack of assessment tools, inability to identify future needs, lack of formal process (7).

The study done in Tanzania on the Challenges facing human resources succession planning in work organizations indicate that awareness on the concept itself was a problem to the employees as it is a challenge which were facing human resource succession planning in the surveyed organizations. Succession planning face some barriers for implementation like unwillingness of top managers to train the junior staff, lack of knowledge on the concept of succession planning and how it works in their organizations(9).

Other findings confirm that effective business practices of the organizations had a positive influence on the succession planning. On other hand, ineffective business practices of the organizations affects them negatively as act as barrier in carrying out succession plan of human resources. Likewise, other finding is effective company vision was thought to among the challenges of succession planning in the surveyed organizations. The study findings shows that 40% indicated that lack of effective company vision strongly affect human resource succession planning in the surveyed organizations(14). This study focused on identifying challenges facing leadership's succession planning especially in Health System.

As organizations today face the ever-increasing issues related to growth, globalization and competition, succession planning is needed to cultivate the right talent in order to meet these daunting challenges.

Senior leadership should be strategically focused in the development of future leaders, combining proactive assignments monitoring, rigorous success planning, and experiential educational programs that will help make organization more competitive, with a talented pipeline of leaders ready to take charge.

The information on barriers to leadership' succession planning practices in health system is very scarce in Africa and Tanzania in general and hence the reason to undertake this study.

CHAPTER THREE

3.0 METHODOLOGY

3.1 Study area

This study was carried out in Same District, Kilimanjaro region. Same District is among the seven districts forming Kilimanjaro Region. Administratively the district has 2 parliamentary constituencies, 6 divisions, 44 wards, 100 villages and 471 hamlets. The district has a total of 72 health facilities where by 45 HF's owned by the government (1 District Hospital, 6 Health centres and 38 Dispensaries) and 27 Private facilities (1 Hospital, 2 Hcs and 24 Dispensaries) which make a total of 2 hospitals, 8 health centers and 62 dispensaries. The district has a total of 561 health workers while the required number according to the staff establishment for HRH 2014-2019 is 1047, therefore the deficit is 487 (46.5%) The district has a total population of 306,321 people. The reason for conducting this study in Same District in Kilimanjaro Region is because of the high attrition rate of health workers which is 10.2% compared to the Nation attrition rate of health workers 6.8%(19). There are about 30 Council health Management Members in Same, in 2020, one quarter of the CHMT (25%) will reach 60 or older, eligible for compulsory age of retirement. Also the healthcare system at Same District experience the shortage of health worker which is 46.5%. These two perspectives demonstrate that, at the top District health care management alone, lager number of individuals will be needed to assume dynamic leadership position. Therefore, with succession planning, there will be retention of health workers, motivation as well as recruitment from within to fill the vacancies.

3.2 Study design

Qualitative exploratory case study research method was employed in this study. The nature of this research, requires that the qualitative explorative research design approach to be used and case study was chosen in order to allow an in-depth exploration of views and ideas from health managers and health workers who have real life experiences of the way leadership succession planning is done by citing examples from one district (14).

3.3 Study population

The study population were managers of the district health system (CHMT), human resource as well as Executive Director. Patton (1990: 183-186) stresses that richness of the data and analytical capability of the researcher determine the validity and meaningfulness of qualitative data more than sample size. Since the aim was to obtain rich information from participants and hence selected the required participants which the researcher thinks were having rich information to the research questions.

3.4 Study sample Size

In qualitative research there are no fixed rules for sample size(13). The sample size can be determined by the amount of resources, budget and the objectives at hand as well as principle of saturation point. In this study, the final sample size was determined by information saturation where by a total of thirteen informants were involved.

3.5 Sampling procedures and techniques

The study employed purposive sampling to select respondents because of the knowledge and experience they possess as well as leadership role they play in various levels of the district health system. Critical case sampling as a type of purposive sampling technique that is particularly useful in exploratory qualitative research, research with limited resources, was used since it helped in explaining the phenomenon of interest. Additionally, the technique helped to establish a clue to the existence of a critical case is a statement to the effect that "if it happens there, it will happen anywhere," or, vice versa, "if it doesn't happen there, it won't happen anywhere." (26).

Therefore, respondents gave rich information that is suitable for detailed research. According to Adhiambo OI, choosing the purposive sample is fundamental to the quality of data gathered; thus, reliability and competence of the informant must be ensured (13). This study included three participants from the Human Resource unity and ten participants from Same District health care Management Team.

3.7 Data collection tool and techniques

In-depth interview technique was used to collect information which facilitated by interview guides. The use of respective interview guide allowed flexibility for probing. Qualitative researchers are allowed to make use of probes in order to deepen responses to questions. According to Patton, a probe is a follow up question used to go deeper in the interview responses(26). The interview was audio recorded using a tape recorder which took almost one hour for every respondent to complete the interview.

The data collection process was done by the principal investigator with assistance from the research assistant who took notes and assisted in recording the interviews. Respondents were informed on the use of tape recorder and note taking during interviews. Key guiding questions included: what are the department's succession planning, what are barriers to implement leadership' succession planning and what things have helped the organization to implement leadership succession planning. Interview guide was initially written in English and translated in Kiswahili to facilitate communication during data collection. In depth Interview is less time consuming and cost effective in collecting the respondents' views and opinions(7).

3.8 Recruitment and training of research assistants

One research assistant was recruited who hold a bachelor degree and aware of the topic and the local conditions of respondents and the area under study. One-day orientation was given to research assistant on research concept, protocol, collection of in-depth interview data. He was also taught about how to ask questions in a neutral manner, not showing by words or expression what answers one expects, not showing agreement, disagreement or surprise and recording the answers precisely as they are provided and without sifting or interpreting respondents' answers.

3.9 Data collection procedure

On reaching in the study area, interviewers introduced themselves to the respondents. The written consent was provided to the respondents to request to participate in the study. The names of respondents were excluded to ensure confidentiality. In-depth interview was

conducted in privacy quiet and friendly environment where by respondent were free to provide information in an open manner.

3.10 Data Management

All data that were generated from the in-depth interviews were checked and cleared daily to insure its correctness and completeness. This was done so as to ensure that all information from the interview were recorded and documented effectively. Management of data was at high level of confidentiality, only those directly involved in the study had access to the collected data. Tape recorders with Audio-recorded data and other collected data were kept in a safe box accessed by the principal investigator alone.

3.11 Data Analysis

Content analysis was used in processing and analysis of qualitative data. In qualitative research we use one type of analysis for the whole objectives unless the objectives have their own framework. In case of study's objectives, they don't have their own framework. Therefore, through the use of Nvivo software, relevant information was identified then put them into container called nodes, label the nodes to generate categories and then create modes and illustrations to help presenting the data regarding research questions.

The following steps of content analysis were used to analyze in-depth interview guides information. The principal researcher read through the transcripts and made brief notes in the margin when interesting or relevant information is found, then she goes through the notes made in the margins and list the different types of information found. It was followed by reading through the list and categorize each item in a way that offers a description of what it is about. The researcher then identified whether or not the categories can be linked in any way and list them as major categories (or themes) and or minor categories (sub themes) in all transcripts. Followed by comparing and contrasting various major and minor categories for all transcripts then collect all categories or themes and examine each in detail and consider if it fits and its relevance according to the topic. Once all the transcripts data was categorized into minor and major categories/themes, review was done in order to ensure that the information is

categorized as it should be then review all of the categories and ascertain whether some categories can be merged or if some need to be sub-categorized. Finally, returning to the original transcripts and ensures that all the information that needs to be categorized has been categorized.

The process of content analysis is lengthy which requires the researcher to go over and over the data to ensure they have done a thorough job of analysis. Verbatim quotations were translated in English for report writing.

3.12 Ethical Consideration

Ethical clearance was provided by the Muhimbili University of Health and Allied Sciences (MUHAS) Ethical Committee. Permission to conduct the study was requested and provided by the Same District Executive Director. Informed consent was obtained from study respondents after being informed about the objectives of the study and the rationale of conducting such a study. Confidentiality of the respondents was ensured at all stages of the study.

3.13 Potential limitation of the study

The main limitation of this study was social desirability, in which some of the key informants provided answers, which have shown positive or favorable images only as a way of avoiding negative evaluation. In addressing this limitation, researchers explained clearly the objectives of this study to the study participants and that findings from this study will help policy makers to address some of the challenges facing health system in ensuring effective succession planning of leaders is in place so as to ensure effective and efficient delivery of quality health services in the district.

3.14 Dissemination of the Research findings

The study report will be made available in the MUHAS library for use. The report will be disseminated and made available to Same District Council for use in improving the succession planning strategy. A manuscript will be written and submitted to a journal for publication to make it available for use by the wider community to advance knowledge.

3.15 Trustworthiness

Thick description was used to show the study's findings that can be applicable to other contexts, circumstances, and situations (27). An audit trail was employed which highlighted every step of data analysis that was made in order to provide a rationale for the decisions made. This was helpful in establishing the research study's findings accurately portray participants' responses. Finally, an inquiry audit was used in order to establish dependability, credibility, transferability and conformability. Outside person was requested to review and examine the research process and the data analysis in order to ensure that the findings are consistent and could be repeated.

CHAPTER FOUR

4.0 FINDINGS

4.1 Description of study participants

A total of 13 participants from Same District Health system and Human Resource unit were interviewed. They were 8 males and 5 females participated in the interview (table 1).

Table 1: Participants characteristics

Participants N=13	
Age	
20-29 years	2 (15.4%)
30-39 years	4 (30.8%)
40-49 years	3 (23%)
50-59 years	4 (30.8%)
Sex	
Male	8 (61.1%)
Female	5 (38.5%)
Level of education	
Diploma	3(23%)
Bachelor Degree	9(69%)
Masters	1(8%)
Work experience (duration)	
0-2 years	0
3-4 years	5 (38.5%)
5-6 years	3 (23%)
7-8 years	1 (7.7%)
9-10 years	2 (15.4%)
11-12years	2 (15.4%)

4.2 Overview

The findings of this study are organized into three categories (table 2). This chapter is divided into three sections: the first section covers succession management practices that are broken down into the actual practices. The second section includes succession planning facilitators that are broken to different levels. The last one present findings on the barriers for the implementation of succession planning in Same District Healthcare System which includes three levels that are individual, organizational and policy level.

Table 2: Summary of categories and subcategories

Sub categories	Categories
<ul style="list-style-type: none"> • Awareness • Involvement • Employees Career Development Programs • Performance Review and Appraisal System • Availability of updated seniority list 	Succession planning practices
<ul style="list-style-type: none"> • Delegation of responsibility • Availability of adequate funds • Mentoring and Orientations • Career development plan • On job training • Involvement in managerial activities 	Facilitators for the implementation of succession planning
<ul style="list-style-type: none"> • Individual level barrier • Organizational level barrier • Policy level barrier 	Barriers for the implementation of succession planning

4.3 Succession Planning Practices

The section presents the views from the participants on their awareness about the concept of succession planning, their involvement as well as how they practice succession planning at Same District Health system.

Awareness on succession planning

Participants explained succession planning as the systems and procedures used to identify, develop, and retain high performing-high potential individuals for future management and leadership roles and how they are placed into those roles. Few explained succession planning as a recruitment process which shows how they lack awareness on succession planning.

“All critical and key positions ought to be identified and future succession plans put into place to avoid loss of key talent and experience” (Participant No.8).

Involvement in succession planning

Majority of the participants believed that been involved in the identification of experienced employees to fill the vacancies is the best way of being involved in the process of succession planning. Participant explained to be involved in the selection of employees to fill the vacancies for the expected positions during CHMT meetings but there was no system in place to ensure everyone has a successor, since the process of identifying successors of their positions was not clear to them.

“When one member of the CHMT retires or left the organization for some reasons, we identify a new one from respective department to take over during CHMT meeting.....we did this to identify District Laboratory Technician, District Environmental Health Officer and District Nursing Officer” (Participant No.3)

Practices of succession planning

Employees Career Development Programs

Findings of this study shows that having employee career development programs and processes in place are required for effective succession planning. Employee career development has become a primary activity of organizations in order to develop a pool of candidates ready to assume leadership roles. Participants explained that the systems employ a mixture of career development practices that include succession planning. The evidence for the practice of career development programs was the availability of budgets to support the trainings both long term and short term trainings.

“Career development programs is a continuous process that occurs throughout the year.....this helped us to have District Nursing Officer, Hospital Matron with a qualification of bachelor degree who before were diploma holders, medical doctors where before the Medical officer was Assistant Medical Doctor” (Participant No. 1)

Performance Review and Appraisal system

Additionally, participant reported to practice succession planning by incorporating it with performance appraisal system. They use performance appraisal forms to identify potential staff to be prepared for succession planning. Also the system assists administrators to understand the performance and employee’s commitment to their duties. The performance Appraisal Review process included a section on performance agreement, agreed resources, mid- year review, revised objectives, attributes of good performance. The review process itself created a development plan.

“OPRAS has helped us a lot in identifying hard working employees, committed and self-motivated employee who need to be considered for high positions” (Participant No. 3)

Availability of updated Seniority list

Apart from that, Human Resource department explained that succession planning is practiced through preparation of seniority list. They were convinced that selection of successors can best be done through preparation of seniority list where they identify employees with highest education level, long working experience, multiple training both short and long term as well as retirement date.

“Daily update of seniority list helps us to understand employee’s status.....with succession planning we identify employees with required qualifications through the system. For every managerial position, there are criteria need to fit the position..... education level and length of stay for the successors are among the criteria” (Participant No. 6).

The study findings reveal that succession planning is informally practiced within Same District Health system since there were no documentation showing how the practice of succession planning is done as well as document showing the list of successors. However,

most of the interviewed Health Managers (86%) believe that SP is an important managerial practice to the future of their organization.

“Succession planning is naturally happening because no one can leave the organization without handling the responsibilities to the fellow..... likewise, retirement notes are given by the staff six months before the date.... this gives a manager time to prepare the candidate” (Participant No.9).

4.4 Facilitators for the implementation of Succession planing

From the participant’s experiences, we found the five main categories about the facilitators to the implementation of Succession planning in Same health system, namely: delegation of responsibilities, availability of adequate funds, orientation and mentoring, career development plan as well as involvement.

Delegation of responsibilities

Participants reported that through delegation of responsibilities, junior staff can be able to increase their skill and get prepared for higher positions. Their experience shows that Same District health managers carryout delegation following some steps like defining the task, select the individual, assess their suitability for the task and consider if there are any training needs, explaining reason for delegation, availability of resources, proper communication and feedbacks by telling them how they are doing and give credit for success.

“I have many meetings, seminars out the office so I must select a person to whom I intend to delegate who will perform my duties on my absence and provide feedback because if I select wrong person I am the one to take the consequences because I am accountable for that” (Participant No. 10).

One of the participants went ahead and explained the importance of ensuring availability of resource during delegation of responsibility.

“Before delegating my responsibility I have to ensure availability of resources..... fuels to ensure smooth running of daily activities like distribution of drugs, vaccines and hospital

supplies, patient referrals as well as supervisions..... helps to minimize obstacles to the delegatee (Participant No. 8).

Availability of adequate funds

According to the views from the study participants, availability of fund is a major factor for the implementation of succession planning because budgets for the training to increase worker's skills depend on the availability of funds.

“Money is not the answer to our problems but it helps a big deal, enough finances ensure proper allocation of resources towards SP.... trainings require funds” (Participant No. 7).

Mentoring and Orientations

Mentoring was an issue of concern raised in different capabilities by 8 participants. They responded that the system was in place which helped some employees to build their skills and gaining experiences to fit for managerial positions. Though the system was in place, there were no guidelines on how well to manage and mentor successors.

Also participants reported that with orientations which was done to new employees to help them cope with the working environment, job rotations (changing of departments), contributed much to the preparation of successors since they become competent in managing multiple responsibilities.

“I appreciate the orientation given by my seniors on planning and budgeting issues.... now I am having five facilities that I assist in making their annual plans” (Participant No. 5)

Carrier development plan

All participants responded that there is a plan for developing employee's carriers to make them improve their skills so that they can do their jobs better and progress to better jobs. Most of the participants explained the practice of carrier development where they set a budget annually to support employees with qualifications to pursue further studies related to their current carrier. This is supported through payment of stationeries during studies, consistent flow of the salary and ensuring job categorization after studies.

“According to the standing Order,2001 the employee may qualify to go for further studies if she/he has been working in the organization for 3 years after the date of first appointment” (Participant No.4).

Despite of the fact that results showing that there is career development plan, but in actual sense that was not what is needed in implementation of SP. However, this implies that, if the organization could be implementing the succession planning, this career development plan was very important to make sure that, every employee understands the process through education, recruitment and trainings. Respondents was asked if their departments have developed sustainable career development plan to provide educational opportunities for eligible candidates, the results from the field show that, 38.5% of the respondents said that there are no sustainable training needs assessment which provide educational opportunities for eligible candidates who can be future leaders of the Organization.

On job training programs

Participants defined on job training as the training done at the work place while the actual job is undertaken. They reported to receive such training from core workers who attended trainings, seminar and meetings where they disseminate the knowledge and provide materials and guidelines where available. Additionally, coaching from a leader or other interested manager is always done especially in the area of planning and budgeting, maternal and child health care and Quality Improvement (QI).

Since successors need to have relevant qualifications to the positions their prepared for, participants explained to practice on job training through meetings, hiring of external professional like IT specialist, data management specialist to contribute experience, skills and wisdom to a mentored employee.

“It was a shock when data manager transferred from our organization.....there was no one with relevant qualifications/ experience to carry the responsibility..... Expertise were hired to train some interested employee who are now capable of doing those responsibilities” (Participant No.11).

Participants explained the advantage of on job training in succession planning that it helps to training many candidates with minimal cost.

Involvement in managerial positions

The study finds that 3 participants reported to be involved in other managerial positions while the rest participants reported to involve their junior employees to their responsibilities to create experience and develop skills for taking managerial positions in the future.

“I have two staff at my department...one is dealing with distribution of vaccines to the lower level facilities and another deals with data analysis and data entry to the computer system”
(Participant No. 9)

4.5 Barriers for the implementation of Succession planning

One of the objectives of the study was to find out the barriers for the implementation of succession planning at Same District health system.

The barriers that were identified during the study were divided into three categories: individual, organizational and policy related barriers. as the identified individual factors includes leader’s perception on succession planning, leaders job description interpretation and power struggle are the major barriers which hinders the implementation of succession planning in Same district health system.

Study participants mentioned a few organizational barriers for the practice of SP, they include financial condition, human resources as well as organizational culture which is not supporting the implementation. Furthermore, policy factors were also found to hinder the implementation of succession planning in Same district health system, those factors include, unavailability of succession planning guidelines as well as assessment criteria.

Individual level factors

Leader`s perception on Succession planning

Findings from the study indicated that, some leaders are not implementing succession planning because they have the idea that it is not within the scope of their work. Others believe that it just happens naturally when someone retires another one takeover.

“I was selected as a successor after the retirement of my boss.... There was no preparation made to make me master the new position” (Participant No. 5).

Leader`s job description interpretation

Views from the study participants indicated that there was a wrong interpretation of leader`s job descriptions since most of them responded that succession planning issues is not included in their job description. Other participants admitted to not doing it at all since they viewed it as a Human Resource management responsibility and others said it was explicit to the Head of departments.

“It is a human resource officer`s responsibility because succession planning seems to deal with human resource recruitment, allocation and replacement” (Participant No.8).

Power struggle in grooming successors

Participants mentioned some statements which show that some failed to groom junior staff due to the fear of losing their jobs to their successors where as others are just lazy to take the challenge of grooming them.

“Sadly, some of the managers we have are too selfish to groom people working below them. You ask Heads of departments to identify successors in their departments but they take it as a threat to their job” (Participant No. 11).

Organizational level factors

Financial condition

Participant explained that financial condition is the major contributor to the failure of succession planning implementation within Same District health system because the health system structure always needs those who occupy different positions to update their skills and knowledge but due to financial constrain, they fail to allocate enough budget for training, orientations and sometimes fail to meet the supportive supervision schedules.

“When we go for long term training the organization complain to have no fund for school fees only small amount is paid for stationeries during studies while our fellows receive fees from their work place” (Participant No.4).

Human Resource shortage

Human Resource plays a very critical role of the planning of organizational structures, as such a flat structure is ideal as it influences succession planning since it allows better communication and easier knowledge sharing in the organizations, which are parameters that would greatly help in implementation of succession planning. Participants explained that their organization is currently faced with critical shortage of employees of mentioned cadres: Radiology technician, Medical doctors, Pharmacist and Optometrist.

“If radiology department could have more than one expert.... It could be easy to transfer knowledge before the retirement of the technician who was there.....since he has retired the department is not operating” (Participant No.11).

The study findings show that organizations in possession of a wealth of human resources in both specialized and management areas are better winners in today’s competitive markets.

“People should make an ongoing effort to boost their professional and managerial capabilities. Only then can they expect to be involved in succession-planning and the selection of candidates” (Participant No.3).

It is clear from the findings that availability of Human resources facilitates the selection of successors who qualify for the duty. Participant reported to have critical shortage of some carders which made some department to paralyze/ not functioning for some times. Participants explained that some departments are having one staff so making it difficult in selection of successors.

“We had one Radiologist assistant who retired in June 2017, since then the department was not functioning due to lack of qualified staff. We decided to allocate one Medical Attendant

who was somehow experienced but the Radiology Authority refused the request and demanded the qualified one” (Participant No.6).

Organizational culture

According to the participants, values and beliefs are the pillar of an organization, which are rather important in governmental systems, where professional values are sacrificed for the sake of baseless commitments.

“The best person is the hardest-working one who seeks to accomplish the mission of the system; it doesn’t matter if he’s your friend and fellow or not. If we have different values instead of meritocracy and succession-planning, then we have sacrificed the system’s performance for names. Clearly, people who do this are not one bit concerned about organizational excellence and lack commitment and take advantage of management opportunities for their personal gain and try to share these benefits with their relatives and friends too. This is where the problem lies” (Participant No. 11)

Furthermore, the majority of the interviewees emphasized the importance of eliminating politics from the selection and appointment of CHMT members. Participants insisted that required qualifications must be more considered than technical know who.

“The involvement of politics is one of those things that fundamentally disrupt the functioning of succession planning, especially in our organization which is responsible for public health; also, the problem becomes even more acute when it concerns succession planning” (Participant No. 7)

4.6 Policy level barriers

A general concern on the issue of unavailability of guidelines for succession planning and assessment criteria was raised. Participant explained some other systems like OPRAS, Big Result Now (BRN) with clear guidelines on how to conduct them but with succession planning there were no guidelines to help them understand and guide them to do it right.

“I have more than ten years working here, I haven’t seen any document or guideline concerning succession planning while with OPRAS you can even google to the internet the guidelines and forms” (Participant No.10).

CHAPTER FIVE

5.0 DISCUSSION

5.1 Overview

This chapter presents discussion of the findings as well as study limitations. The main objective was to explore the practices of succession planning, facilitators as well as barriers facing the implementation of succession planning at Same District Healthcare System. The participants were members from Human Resource department, District Health Management Team and District Executive Director, most of them have worked in the organization for more than 4 years.

5.2 Succession planning awareness

Participants understood what succession planning was and the importance in any organization. They explained SP as a system of identifying, developing and retaining potential employee, thereby maximizing the likelihood of a smooth and successful transition. Succession planning is essential to ensuring organizational continuity and growth, simply because is the process of lining up the right people to take over important roles in the company as they open up. The study done in Tanzania by Mkumbo on the Impacts of Inadequacy of Succession Planning in Engineering Companies reveals the same findings (12).

5.3 Succession Planning Practices

The study revealed a number of succession planning practices which are being conducted by the CHMT members and other responsible officers in the district health care system. This includes effective management of Open Performance Review and Appraisal System (OPRAS), career development plans as well as preparation of updated seniority list.

Open Performance management is the system organization leaders use to manage the performance of its employees, in line with organizational strategies and objectives. Findings from the study explained that the tool is used to assist leaders in planning, managing, evaluating and realizing performance improvement from employees. Through this evaluation,

leaders identify potential employees for expected higher positions who are self-motivated and committed. These findings are similar to other findings identified by previous researchers where they find that through effective management of OPRAS, managers can easily prepare training needs assessments and identify potential employees for succession plan(4).

Additionally, career development plan was confirmed by the participants to be practiced within the Same District Healthcare System through the preparation of annual training schedule with budget to support qualified employees to develop their career. Ogotu on his study on Succession planning and Management in Kenya explained Career development as the process of how organizations attract, select, develop, and manage employees in an integrated and strategic way (28). The study done by Ajay in Johannesburg shows that career development prepare them for higher positions and retain employees(29).

Another practice which was found from the study is preparation of seniority list which includes different sections such as names, age, education level, date of appointment which generates date of retirement. Leaders from this organization believed that, through updated seniority list, successors can easily be picked up. The study done by Murimi in Kenya explained the same practices that seniority list assist manager to understand the length of stay of each employee and education level which are essential in succession planning of key positions. (4).

Despite the fact that organizational leaders understood and realized the importance of SP to the organization continuity, there still exists a gap in knowledge regarding the nature of application. The study found that succession planning was informally practiced. The informal nature of the systems was confirmed in the selection of successors which was primarily done without the use of any written assessments or standards and without linkage to the organization strategic plans since creating an unacceptable risk for bias and inequities. Study conducted in USA, Washington reported similar findings that informal nature in succession planning may bring bias within the organization(10).

5.4 Facilitators for Succession Plan

A number of facilitators were identified to exist in the healthcare system in Same district. These include availability of funds, mentoring and orientations, career development plan and on job trainings.

Availability of fund was revealed to facilitate the implementation of SP within the system where funds were used in training and orienting potential successors. Previous studies provide similar findings that having enough budgets for human resources is one of the most important conditions for training people(4). Study done in USA on succession planning activities at rural public health departments demonstrate the importance of allocating enough fund to prepare successors(30).

Mentoring and Orientation was evidenced to facilitate the implementation of succession planning in Same District healthcare system. Mentoring was carried out during supportive supervision and job rotations which increase employees' capacity in doing multiple roles. The same finding was identified by Athiambo in the study on the influence of succession planning practices on performance of health service in Kisumu, Kenya (13). The study done by Darrell in California, on the Role of Mentoring in Succession Planning and Talent explained that the ability to nurture employees requires a well-defined methodology for mentoring. In most government agencies, leadership enhancement is based on developing a set of core skills of what are the values of a good leader. A successful mentoring program can facilitate the implementation of SP (31).

Furthermore, study findings reported that career development plan encourage leaders to consciously acknowledge a life after the leadership transition since knowledge and skills of potential staffs are developed. Findings indicate that the plan contribute to employee's satisfaction and improve the organization overall outcomes. The results of this study are consistent with previous studies that argues for talent pool by providing training which is the best approach for ensuring that right talents is ready and available to fill vacant position (32). Mkumbo acknowledge the role played by carrier development plan in preparation of successor

on her study on the impact of inadequacy of succession planning in engineering companies in Tanzania (12).

Out study findings show that on job training facilitate the implementation of SP because employees are provided with knowledge and skills to fit for higher positions. Participants explained that on job training was conducted through meetings, hiring of external expertise to coach interested employees as well as during Big Result Now (BRN) visits .Study done in Nigeria reported similar findings indicating that on job training is essential to the development of skills of healthcare works since it is offered across the organization giving all staff the opportunity to participate in order to attain promotion (33). Faisal on the study of reforming human resource development in Tanzania, added that sensitization is an aspect of on job training which helps in sharing of experience among employees(17).

Study found a few facilitating factors for implementation of SP which have not been reported in other studies. These include among others delegation of responsibility and involvement.

Delegation of responsibilities was found to facilitate the implementation of SP in the healthcare system where managers assign their roles to junior staffs and capability was monitored through proper communication and feedbacks.

Involvement of key staffs to the managerial roles such as supportive supervisions, planning and budgeting was also found to facilitate the preparation of successors with Same District healthcare system.

The major reason for reporting different findings from other studies could be due to the fact that the organizations where these studies were conducted maybe do not consider delegation and involvement as among the facilitating factors for the successful implementation of SP.

5.5 Barriers to the implementation of Succession planning

Findings from the study identified some barriers that hinder the implementation of succession planning in Same District health system that includes: leader's perception on SP, leaders job description interpretation, power struggle in grooming successors, poor financial condition, human resource shortage, organization culture and lack of clear policy on SP.

The study findings indicate that leader's perception on succession planning identified to be an individual barrier in the implementation of SP since they hastate to groom junior staff in the fear of losing their position. The study done in South Africa by Shindisiwe and others explained the impact of leaders being reluctant in grooming junior staff that may cause downfall of a department when key and skillful employee exist the system upon retirement or seeking for green pasture (34).

Also findings from the study show that some leaders at Same District healthcare system believe that succession planning do not fall under their job description. They perceive it as a human resource officer's responsibility. A study conducted in Kenya by Murimi discovered that leaders perception and interpretation of their job descriptions is an individual barrier to the implementation of succession planning(4).

Apart from that, financial constrain was mentioned by the participant to hinder the implementation of SP. Findings reveals that SP is an exercise that requires budgeting, as it involve training. That means, in order for it to take place, it should be factored into the departmental plan. Participants explained that trainings were not done as planned due to small budget received from high authority. Study done by Schultz on Factors related to succession planning in a government department in Namibia, indicate that lack of enough finance is a barrier to SP (2). Mwamwezi state that lack of adequate financial resources affect the effectiveness of SP in any organization (9). When the organization does not have sufficient funds, cannot attract and recruit potential employees, thus making it difficult to have smooth SP (13).

Moreover, Human resource shortage revealed to act as a barrier to SP implementation. The finding show that in Same District healthcare system there is a shortage of human resources of 46.5% where critical shortage is evidenced in the cadres like radiologists, Medical doctors as well as pharmacy department. With this shortage, the preparation of successors becomes difficult because some of the positions are even possessed by unqualified employees. The finding is supported by the result of the study done in Namibia by Joyce on the factors affecting the implementation of succession planning in the ministry of health and social

services where shortage of resources was identified to hinder SP (35). Succession planning does not and cannot stand alone, it is derived from the overall corporate planning from which workforce planning, human resources or manpower planning is carved out. According to Athiambo, availability of adequate human resources makes the implementation of SP easier (13). Study done in South America by Brian revealed the same by elaborating retention of employee to ensure sustainability of successors (8).

Another identified barrier to the implementation of SP was organization culture. Participants explained that organizational values and beliefs are interfered with politics where some vacancies are filled with unqualified cadres; this makes potential employees loose morale of work. This type of finding was supported by Mateso on his study on understanding SP and Management efforts at Midwestern University where he found that politics affect the process of selection of successors (35).

Finally, the study reported that unavailability of guidelines and assessment criteria was the policy related barrier to the implementation of SP in the study area. There was no document to guide leaders what to do in implementing succession planning as well as assessment criteria to determine if the SP is effectively practiced. This challenge is in line with the study conducted by Amukugo, on the factors affecting the implementation of succession planning in the Ministry of Health and Social services in Namibia, which revealed that if assessment criteria are lacking then the implementation of succession planning may be affected (36).

5.6 Limitations of the study

A major limitation of the study was that a few members of the CHMTs who were expected to participate in the study were not available during the study period since they were committed with other official businesses. Therefore, this study failed to capture their information. However, the researcher ensured that 13 out of 17 study participants who were available were thoroughly interviewed so as to get rich information about the study objectives.

CHAPTER SIX

6.0 CONCLUSION AND RECOMMENDATIONS

6.1 Conclusion

Succession planning is an important aspect in Human Resource development that ensures continuity of an organization. The practice of succession planning in Same District healthcare system is understood but it is not put into practice as should be. The study identified some facilitating factors for SP implementation which are: mentoring and orientation, availability of funds, career development plan, on job training, availability of adequate human resource, delegation of responsibility as well as involvement of junior staff in managerial activities.

However, there are many identified barriers hindering the SP process in Same District healthcare system which are: financial constrain, human resource shortage, organizational culture, leader's perceptions on SP, leaders job description interpretations and lack of SP guidelines and assessment criteria. Some of these barriers can be overcome by line managers such as CHMT members and all other key players in authority including District Executive Director. For the process to be flawless, the healthcare system in Same District needs to address all the identified barriers.

6.2 Recommendations

It is evident from the findings that the organizational leaders understood what is SP and its importance. It was discovered that the application of SP and practices comes with limiting factors that impede the successful implementation of succession planning. Therefore, the study recommends the following:

- a) **Council Health Management Team:** It is recommended that CHMT as top management team in District Health system, should be seen as drivers of succession planning by actively providing platforms that encourage these practices. Top managements' participation will facilitate in providing leadership and direction regarding the implementation of succession planning to the subordinates.
- b) **Human Resource Unit:** It is recommended that the unit develop an internal talent search system. This will help channel the succession planning resources efficiently. This can be achieved by an effective use of performance appraisal systems and assessments that would be designed for the identification of suitable candidates that can be developed for future management positions.
- c) **District Executive Director:** It's essential to have consensus among the top and senior leadership team about the importance of proactive leadership development and succession planning. Therefore, the study suggest that the Director should set a mechanism of restoring commitments, seriousness and accountability on the effective implementation of SP within their departments.
- d) **Ministry of Health, Community Development, Gender, Elderly and Children (MoHCDGEC):** The Ministry of Health in collaboration of President's Office, Public Service Management should develop guidelines to guide the CHMT and other health system managers on how to implement SP and also be able to assess its effectiveness.
- e) **The Local Government Authorities (LGA):** It is suggested that the LGA should allocate resources for training, both short course and long terms courses so as to facilitate SP implementation. Also the LGA should make sure that councils include budget for SP in their annual plans by setting assessment criteria to check the inclusion of the budget.

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APPENDICES

Appendix I: In-Depth Interview Guide

Muhimbili University of Health and Allied Sciences



School of Public Health Social Sciences

In-depth interview guide for exploring the practices, facilitators and barriers of leader's succession planning in Same District health system

BEFORE STARTING THE INTERVIEW:

- Salute all persons you meet in the interview venue (including those you don't need for the interview)
- Introduce yourself to the interviewee
- Explain the purpose of your visit
- Request for consent to carry the study (provide him/her with a copy of the consent form and read it for him/her)
- Allow time for questions/discussion on the consent and clarification
- If satisfied request him/her to sign the consent certificate and return it to you (only the certificate)
- Switch on the digital recorder
- Thank him/her and then begin the interview

Succession Planning Practices

a) How long have you been with (insert name of the PHS)

Probe: how has he/she been involved with succession planning here?

b) Tell me about your department's succession planning practice?

c) What specific things, if any, does your organization do to help front line staff become prepared for managerial positions?

Probe if;

- There are Career development plan
- There are on job training programs
- There are Mentoring or coaching programs

Facilitators

d) What things, if any, have helped the organization implement leadership's succession planning?

Probe if;

- There are any organizational things that have made it easier
- There are any policy or systems issues that have made it easier
- There are any human or financial resources that have made it easier
- There are any training or technology advancement that have made it easier

Barriers

e) What barriers, do you face when implementing leadership's succession planning in your organization?

Probe if;

- There are any organizational barriers
- There are any policy or systems barriers?
- There are any human resources barriers?
- There are any financial barriers?

Closing

f) What else do you think I should know about succession planning here?

Thank you very much for the good responses to our questions, kindly we welcome you if you have any question/s or any concern that you would wish us to explain or address. (Give time for him/her to respond)

We have come to the end of our interview, once again thank you very much for your time and support. After our initial analysis, we may feel that we had forgotten or we may need more details on some of the responses and thus we may need to contact you again. Kindly bear with us and accept our visit or call to you again. In the event as well, you may remember something that you want to share with us or seek clarification from us, we are willing to talk to you anytime and most welcome.

Thank you for your co-operation

Appendix II: Mwongozo wa Mahojiano ya Kina

Muhimbili University of Health and Allied Sciences



School of Public Health Social Sciences

Mwongozo wa mahojiano ya kuchunguza utendaji, visabibishi na vikwazo vya mpango mfululizo wa viongozi katika mfumo wa afya wa Halmahauri ya Wilaya ya Same

KABLA YA KUANZIA MAZUNGUMZO:

- Salimia watu wote unaokutana nao katika eneo la mahojiano (ikiwa ni pamoja na wale ambao huna haja nao ya mahojiano)
- Jitambulisha kwa mhojiwa
- Eleza lengo la ziara yako
- Ombi la idhini ya kufanya utafiti (kumpa nakala ya fomu ya ridhaa na kumsomea)
- Ruhusu muda wa maswali / majadiliano juu ya ridhaa na ufafanuzi
- Ikiwa ameridhika muombe afanye ishara ya idhini na kurudi kwako (tu cheti)
- Washa rekoda ya digitali
- Mshukuru na kisha anza mahojiano

Sehemu ya I: Mpango mfululizo

a) Ni kwa muda gani umekua na taasisi hii?

Dodosa; kwa namna gani umeshiriki katika mpango mfululizo?

b) Nieleze kuhusu mpango mfululizo katika taasisi yako?

c) Ni vitu gani, kama vipo, ambapo taasisi yenu inafanya kuhakikisha watumishi wanaandaliwa kushika nyazfa za uongozi?

Dodosa kama;

- Kuna mpango wa uendelezaji wa taaluma
- Kuna mpango wa mafunzo kazini
- Mpango wa ushauri na kufundisha

Visababishi

d) Ni vitu gani, kama vipo, vilivyosaidia utekelezaji wa mpango mfululizo wa viongozi?

Dodosa kama;

- Kuna mambo ya taasisi yaliyorahisisha
- Sera yoyote au mfumo uliorahisisha
- Rasilimali watu au fedha
- Mafunzo au kukua kwa teknolojia

Vikwazo

e) Ni vikwazo gani, kama vipo, unafikiri vinakwamisha utekelezaji wa mpango mfululizo wa viongozi?

Dodosa kama;

- Kikwazo chochote katika taasisi
- Sera yoyote au mfumo lioathiri
- Rasilimali mali watu zilizoathiri
- Rasilimali fedha zilizoathiri

Kufunga

f) Ni kitu gani kingine ungependa nifahamu kuhusiana na mpango mfululizo hapa?

Asante sana kwa majibu mazuri kwa maswali yetu, kwa hakika tunakukaribisha kama una swali /au masuala yoyote ambayo ungependa tufafanue au kushughulikia. (Mpe muda wa kujibu)

Hatimaye, tumefika mwisho wa mahojiano yetu, kwa mara nyingine tena asante sana kwa muda wako na msaada. Baada ya uchambuzi wetu wa awali, tunaweza kuhisi kuwa tumesahau au tutahitaji maelezo zaidi juu ya baadhi ya majibu na hivyo tunaweza kuhitaji kuwasiliana nawe tena. Tunaomba utuvumilie na kukubali ziara yetu au kuwaita tena. Katika tukio hilo pia, unaweza kukumbuka kitu ambacho unataka kushirikiana nasi au kutafuta ufafanuzi kutoka kwetu, tuko tayari kuzungumza na wewe wakati wowote.

Ahsante kwa ushirikiano wako

Appendix III: Consent to Participate in Research – English Version

Muhimbili University of Health and Allied Sciences



School of Public Health Social Sciences

A research on practices of leadership' succession planning in health system

Dear Sir/Madam

You are hereby invited to participate in a study conducted by Mwajuma M. Nyika for a Masters Dissertation at Muhimbili University of Health and Allied Sciences.

Your participation in this study is entirely voluntary. You should read the information below before deciding whether or not to participate in the study. Your participation in the study will involve participation to identify factors, prevention strategies and your experiences in relation to work related injuries in construction industry.

Purpose of the study: The purpose of this study is to explore the existing practices, facilitators and barriers for implementing leadership's succession planning in the district Health system

Voluntary participation: Participation in this study is voluntary and you have a right to refuse to consent. If you consent to participate, you have the right to withdraw from the study at any time if you wish to do so.

Benefits: There are no direct benefits for participating in the study. However, this study will provide information on existing practices, facilitators and barriers for implementing leadership’s succession planning in the district Health system. This information will be useful to government and non-government actors to improve human resource management.

Risks and discomfort: There are no risks or discomforts involved in this study.

Compensation for time: You will not receive any payment or other compensation for participation in this study. There is also no cost to you to participate in the study except your time.

Confidentiality: Your participation in this study will remain confidential and your identity will be disclosed. There will be no any link between your identity and response.

Review and approval: The review and approval of the study has been done by the Ethical committee of Muhimbili University of Health and Allied Sciences (MUHAS).

Results: The results of the study will be made available to you through a planned means of research dissemination and will be compiled in a research paper for publication as part of a partial fulfillment of a master’s degree.

Consent form: I confirm that I have read carefully, understood the information provided and consent to participate in the study.

Contact: If you ever have questions about this study, you should contact the Principal Investigator Mwajuma M. Nyika from Muhimbili University of Health and Allied Sciences, P.O. Box 65001, Dar-es-Salaam.

I, have read the contents of this consent form and my questions have been adequately answered. I therefore agree to participate in this study.

Signature of the participant Date2018

Signature of the interviewer Date2018

Appendix IV: Ridhaa ya kushiriki kwenye utafiti - Kiswahili Version

Chuo Kikuu cha Afya na Sayansi Shirikishi Muhimbili.



School of Public Health Social Sciences

Utafiti kuhusu mpango mfululizo wa viongozi katika sekta ya afya

Mpendwa mshikiri:

Nakukaribisha kushiriki katika utafiti unaofanya na Bi. Mwajuma M. Nyika, mwanafunzi wa stashada ya pili kutoka chuo kikuu cha afya na sayansi shirikishi Muhimbili.

Kushiriki kwako katika utafiti huu ni kwa hiari unatakiwa kusoma taarifa zote katika fomu hii na kuaamua kushiriki au kutokushiriki katika utafiti huu.

Madhumuni ya utafiti: Dhumuni la utafiti huu ni kuchunguza utendaji wa mpango mfululizo wa uongozi katika sekta ya afya kwa kuangali namna unavyotekelezwa, mambo yanayoweza utekelezaji kadhalika na mambo yanayoathiri utekelezaji wa mpango mfululizo katika sekta ya afya hususani katika mfumo wa Afya wa halmashauri ya Wilaya ya Same.

Ushiriki: Ushiriki katika utafiti huu ni wa hiari na una haki ya kukataa kushiriki katika utafiti. Kama umekubali kushiriki utatakiwa kuweka sahihi yako katika fomu hii nakujiibu maswali utakayokuwa unaulizwa na msahili.

Faida: Hamna faida ya moja kwa moja kwa wewe kushiriki katika utafiti huu. Ila matokeo ya utafiti huu yatasaidia kutoa taarifa ya mpango mfululizo unaotumika, vitu vinanyopelekea

utekelezaji na vikwazo katika utekelezaji wa mpango mfululizo wa uongozi katika mfumo wa afya wa halmashauri. Taarifa hii itasaidia serikali na mashirika binafsi kuona namna ya kutumia rasilimali watu.

Hasara: Hakuna hasara za moja kwa moja zitakazotokana na utafiti huu.

Fidia: Hakuta kuwa na malipo yoyote kutokana na ushiriki wa utafiti huu na pia kama mshiriki hutakuwa na gharama zozote za wewe kushiriki katika utafiti huu isipokuwa muda wako tu.

Usiri: Ushiriki wako katika tafiti hii utabaki kuwa siri na taarifa zote zitakazokusanywa zitashughulikiwa kwa usiri wa hali ya juu. Jina lako halitatumika katika taarifa zozote.

Kuidhinisha utafiti: Mapitio na uidhishaji wa utafiti huu umefanywa na kamati ya maadili ya utafiti kikuu cha afya na sayansi shirikishi Muhimbili.

Matokeo: Matokeo ya utafiti huu yatapatikana kupitia uwasilishwaji katika chuo kikuu cha afya na sayansi shirikishi Muhimbili, na wadau, pia ripoti ya utafiti itawekwa kwa umma (publish) ili iweze kusaidia kutekeleza shughuli za lishe na tafiti zingine

Fomu ya utafiti: Nakiri kwamba nimesoma maelezo yote kwa umakini na nimeelewa kila kilichoandikwa katika fomu hii. Ninaelewa kwamba ninaweza kujitoa muda wowote nitakaotaka kujitoa katika tafiti hi.

Mawasiliano kuhusiana na utafiti huu

Kama una maswali kuhusiana na utafiti huu unaweza kuwasiliana na mtafiti mkuu, Mwajuma M. Nyika kutoka chuo kikuu cha afya na sayansi shirikishi Muhimbili, S.L.P 65001, Dar es Salaam.

Mimi, Nimesoma maelezo yote katika fomu hii na maswali yangu yameweza kujibiwa. Nakubali kushiriki katika utafiti huu.

Sahihi ya Mshiriki..... Tarehe

Sahihi ya Msahili Tarehe

Appendix V: Ethical Clearance Letter

**MUHIMBILI UNIVERSITY OF HEALTH AND ALLIED SCIENCES
OFFICE OF THE DIRECTOR OF POSTGRADUATE STUDIES**

P.O. Box 65001
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Direct Line: +255-22-2151378
Telefax: +255-22-2150465
E-mail: dpgs@muhas.ac.tz

Ref. No. DA.287/298/01A/

26th November, 2018

Ms. Mwajuma M. Nyika
Master of Public Health
MUHAS.

**RE: APPROVAL OF ETHICAL CLEARANCE FOR A STUDY TITLED:
"EXPLORING LEADERSHIP SUCCESSION PLANNING SAME
HEALTHCARE SYSTEM IN KILIMANJARO REGION, TANZANIA"**

Reference is made to the above heading.

I am pleased to inform you that, the Chairman has, on behalf of the Senate, approved ethical clearance for the above-mentioned study. Hence you may proceed with the planned study.

The ethical clearance is valid for one year only, from 14th November, 2018 to 13rd November 2019. In case you do not complete data analysis and dissertation report writing by 13rd November, 2019, you will have to apply for renewal of ethical clearance prior to the expiry date.

Dr. Bruno Sunguya

ACTING: DIRECTOR OF POSTGRADUATE STUDIES

cc: Director of Research and Publications
cc: Dean, School of Public Health and Social Sciences

Appendix VI: Introduction letter to Same District Council

**MUHIMBILI UNIVERSITY OF HEALTH AND ALLIED SCIENCES
OFFICE OF THE DIRECTOR OF POSTGRADUATE STUDIES**

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E-mail: dpgs@muhas.ac.tz

Ref. No. HD/MUH/T.403/2017

29th November, 2018

District Executive Director
Same District
P.O. Box 138
SAME-KILIMANJARO.

Re: INTRODUCTION LETTER

The bearer of this letter Ms. Mwajuma M. Nyika is a student at Muhimbili University of Health and Allied Sciences (MUHAS) who is pursuing Master of Public Health.

As part of her studies she intends to do a study titled: "*Exploring leadership succession planning same healthcare system in Kilimanjaro Region, Tanzania*".

The research has been approved by the Chairman of University Senate.

Kindly provide her the necessary assistance to facilitate the conduct of her research.

We thank you for your cooperation.


Ms. Shariffa Kamby

For: DIRECTOR, POSTGRADUATE STUDIES

cc: Dean, School of Public Health and Social Sciences
cc: Ms. Mwajuma M. Nyika

Appendix VII: Permission letter to conduct research



UNITED REPUBLIC OF TANZANIA
PRESIDENT'S OFFICE
 REGIONAL ADMINISTRATION & LOCAL GOVERNMENTS
SAME DISTRICT COUNCIL



All correspondences be addressed to:

Phone: +255 27 2758190 (Direct line)
 +255 27 2758034 (General line)
Fascimile: +255 27 2758235 / 255 27 2757015
Website: <http://www.hotcitysame.com>

District Executive Director
 P.O. Box 138,
 Same, Kilimanjaro
 e-mail: dedsamekilm@yahoo.co.uk

On reply please quote:

Ref. No.SDC/F.20.Vol 11/36/25

Date:10thDecember,2018

District Medical Officer,
 BOX 10, SAME.

**RE: REQUEST FOR PERMISSION TO CONDUCT STUDY IN SAME DISTRICT,
 KILIMANJARO REGION**

Please refer to the subject above.

The District Executive Director is granting permission to Mrs. Mwajuma Maliki Nyika student at Muhimbili University for the degree of Masters of Public Health to conduct a research titled "**Leadership Succession Planning in the Healthcare System in Same District, Kilimanjaro Region, Tanzania: Exploring Practices, Barriers and Facilitators**". She is requested to share the results of the research to all level in order to inform decision makers.

It's my hope that will be given cooperation to accomplish the requirements of her study.

Best regards,


 Tatu Nkondo

For: District Executive Director

Same.

Copy to: Mrs. Mwajuma Maliki Nyika
 Director Post Graduate studies
 MUHAS-DAR ES SALAAM.