



Health Systems: Goals, Functions, Actors

Leadership, Governance and Stewardship

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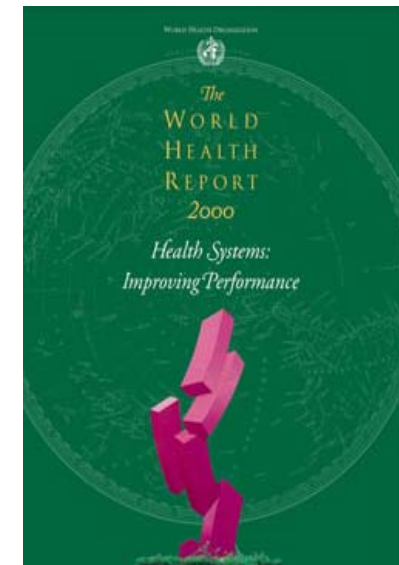
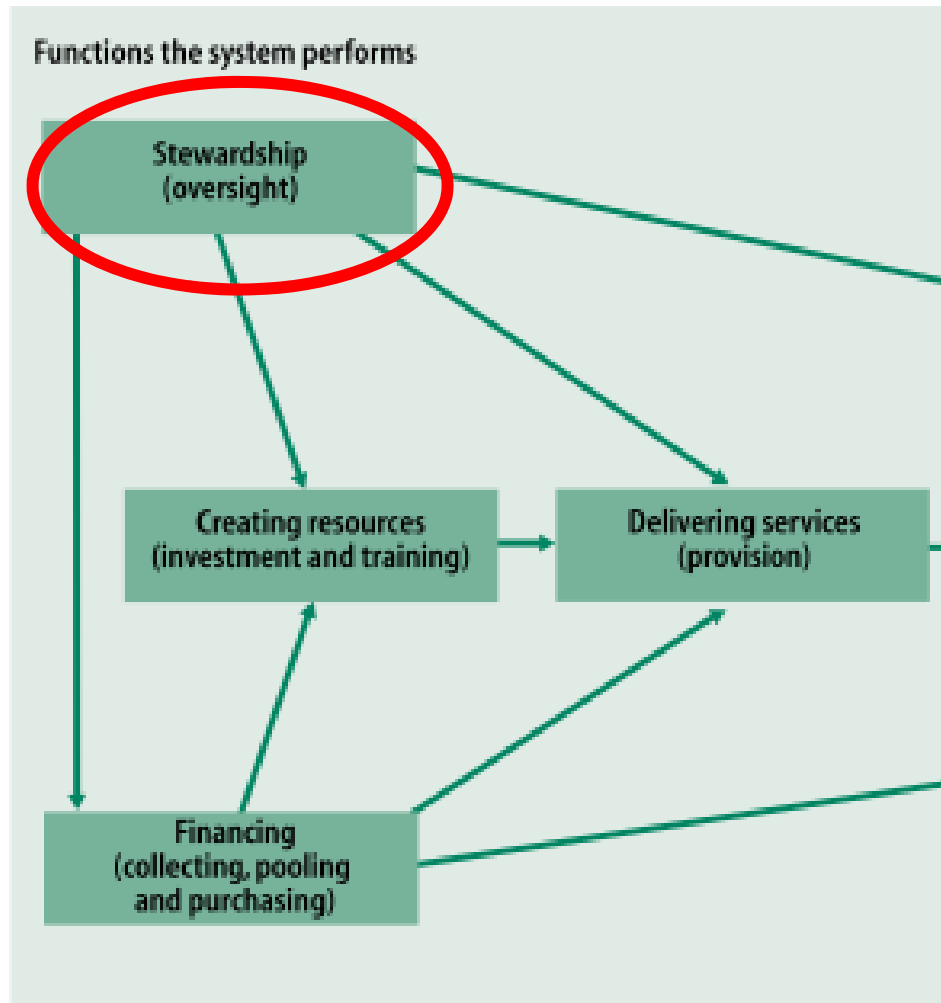
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&

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The WHO Health system framework (WHR 2000)



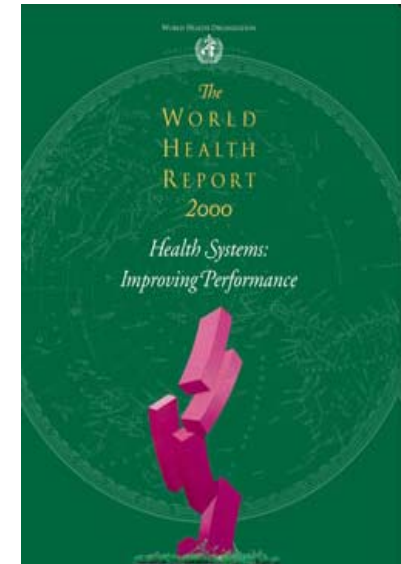
“Stewardship is one of the four main health systems functions and is argueably the **most important** one.”

Stewardship and regulation

“Rowing less, steering more” –
clear division of competencies
with role of state = stewardship:

- ◆ **Health policy formulation** – defining the vision and direction for the health system
- ◆ **Intelligence** – assessing performance and sharing information
- ◆ **Regulation** – setting fair rules of the game with a level playing field (including possibly promotion of entrepreneurial activity!)

... but not providing care!



WHO 2007 building blocks

- The concept of “stewardship” did not grasp the complexity of health systems, association with strong leadership alone , e.g. “steer the ship of state”.
- In 2007, changed to “**leadership and governance**”, with several subcategories: “ensuring that **strategic policy framework** exists and is combined with **effective oversight**, **coalition building**, **regulation** and attention to **system-design and accountability.**”



“Am Steuer,” Kladderadatsch,
vol. 32, No. 27 (June 15, 1879), p. 108.

WHO 2007

Classifying dimensions of “governance”

	UNDP 1997	World Bank 1999	WHO 2000	Travis et al. 2002	Islam 2007	WHO 2007	WHO/EURO 2008	Siddiqi et al. 2009	Lewis and Pettersson 2009	Savedoff 2009	Mikkelsen-Lopez et al. 2011	HealthGovMonitor 2011	Baez-Camargo and Jacobs 2011	Kickbush and Gleicher 2012	Council of Europe 2012	Smith et al. 2012	Wendt 2012	Kaplan et al. 2013
Fundamental values																		
Control of corruption		•								•	•		•					
Democracy															•			
Human rights														•	•			
Ethics and integrity								•				•			•			
Conflict prevention		•																
Public good														•				
Rule of law	•	•						•							•			
Sub-functions/ principles																		
Accountability	•	•		•	•	•	•	•	•	•	•	•	•	•		•	•	•
Partnerships				•		•	•							•			•	
Formulating policy/strategic direction	•		•	•	•	•	•	•	•	•	•		•	•			•	•
Generating information/intelligence			•	•	•	•	•	•	•	•						•		•
Organizational adequacy/system design				•		•	•					•		•	•		•	
Participation and consensus	•				•			•			•	•	•	•	•		•	•
Regulation		•	•	•	•	•	•		•					•				
Transparency	•						•	•		•	•	•	•		•			•
Outcomes/ goals																		
Effectiveness	•	•						•				•			•			
Efficiency	•						•	•		•		•	•		•			•
Equity	•						•	•		•		•	•		•		•	•
Quality												•			•			
Responsiveness	•				•		•	•		•		•	•		•			•
Sustainability												•			•			
Financial and social risk protection							•											
Improved health							•											

Components, functions and tools of governance: 4 x C

Components	(Sub-) functions	Tools / strategies
control	<i>Accountability</i>	(Performance-based) contracts, Capacity to sanction performance of individuals and organizations, external audits (financial, clinical, quality)
	<i>Formulating policy and strategies</i>	National health plans, medical guidelines, priority setting of goals
	<i>Regulation</i>	Rules, procedures, decrees; self-regulation by statutory bodies (e.g. professional associations)
coordination	<i>Organizational adequacy and system design</i>	Monitoring and evaluation plan, Annual operational budgets, training
	<i>Generating information/intelligence</i>	Health technology assessment, audits, reports Patient reported outcome measures
collaboration	<i>Participation and consensus</i>	Open meetings, sector-wide approaches – “Health in all policies”, consultation in health legislation
	<i>Partnerships</i>	Inter-ministerial committees, integrated budgets, information systems, common workforce training and qualification
communi- cation	<i>Transparency</i>	Releasing performance indicators, satisfaction surveys, watchdog committees

Strategies of good governance, sorted according to “attributes” (= [sub-]functions or principles): the TAPIC framework

Transparency	Accountability	Participation	Integrity	Policy Capacity
<ul style="list-style-type: none"> - Watchdog committees/ inspectorates - Reporting requirements - Performance measurement - Freedom of information provisions - Public information efforts 	<ul style="list-style-type: none"> - Standards & code of conduct - Conflict of interest policies - Competitive bidding - Contracts - Financial mechanisms - Choice mechanisms - Regulation strategies - Organizational separation 	<ul style="list-style-type: none"> - Client surveys - Stakeholder forums - Advisory committees - Consultation - Representation (appointed or elected) - Legal remedies - Partnerships 	<ul style="list-style-type: none"> - Internal audit - Budget - Financial audit - Legislative mandate - Clear organizational roles and purposes - Personnel policies 	<ul style="list-style-type: none"> - Intelligence on performance - Intelligence on processes - Research and analysis capacity - Staff recruitment and retention

Source: based on Greer et al. 2016