Leadership and Management Toolkit

Welcome to the Leadership and Management Toolkit, your source for reliable and relevant information about leadership and management in health!

All over the world, people working in health face numerous and complex challenges in order to produce results and provide care. Health sector reform, changing donor priorities, shifting client needs, and new technologies require that managers at all levels play a primary role in meeting the needs of their organization and clients. Through improved leadership and management, people working in public, private, and nongovernmental organizations can face these challenges with more confidence and lead their teams to effect significant changes in health.

The resources in this toolkit were carefully selected to eliminate the need to conduct extensive searches on multiple sites. Health policy makers, program managers, service providers, information officers, and others will find valuable resources on this site. The toolkit provides evidence-based guidance and tools to update, expand, or develop leadership and management skills in health managers and service provision programs.

To browse the content of this toolkit, use the tabs above. The toolkit is organized to align with the World Health Organization's (WHO) health system strengthening building blocks:

1. Leadership and Governance
2. Human Resources
3. Financing (Financial Management)
4. Medicines, Vaccines, and Technologies (Logistics and Pharmaceuticals)
5. Information (Monitoring and Evaluation)
6. Service Delivery and demand

We've also included a section on General Management.

All six components must work together to deliver health services effectively and efficiently. The exact contribution of each building block to health outcomes depends on the problem being addressed and the services that need to be delivered by the health system and used by clients.

With your help, we expect and hope this toolkit will evolve over time to further meet the needs of
What are K4Health toolkits?

K4Health toolkits are electronic collections of carefully selected information resources on a particular topic for health policy makers, program managers, and service providers. They are based on a continuous publishing principle that allows them to evolve after publication to capture additional resources and to identify and fill information gaps.

What is the purpose of the Leadership & Management Toolkit?

The purpose of the Leadership & Management Toolkit is to provide evidence-based guidance, tools, and informational resources to update, expand, or develop leadership and management skills.

Who should use this toolkit?

The toolkit is intended for use by:

- Policy makers and program managers who are interested in adding or improving existing
leadership and management skills;

- Service providers, information officers, potential clients, teachers, and students who are interested in accurate information about leadership and management.

We invite you to suggest resources or adapt the resources in this toolkit to suit your local circumstances and languages.

What types of resources are included in this toolkit?

The resources in this toolkit were carefully selected to eliminate the need to conduct extensive searches on multiple sites. Health policy makers, program managers, service providers, information officers, and others will find reliable, relevant, and usable information about leadership and management for health programs. The toolkit is organized to align with the World Health Organization's (WHO) health system strengthening building blocks:

1. Leadership and Governance
2. Human Resources
3. Financing (Financial Management)
4. Medicines, Vaccines, and Technologies (Logistics and Pharmaceuticals)
5. Information (Monitoring and Evaluation)
6. Service Delivery and demand

Also included is a section on General Management.

How should this toolkit be used?

To browse the content of this toolkit, use the navigation to the right to view resources related to key program topics. You can also use the search box if you know what you are looking for or have a specific item in mind.

Resources in this toolkit can be downloaded and adapted for teaching and training, research, advocacy, policy making, and program management purposes. Some of the tools are readily available in adaptable format. We encourage you to alter and personalize these tools for your own use. (Please remember to credit the source.) If you do use these tools or adapt them, we
would love to hear from you. Please e-mail us at toolkits@k4health.org and include the name of the toolkit in the subject line of your message.

**How can I suggest a resource to include in this toolkit?**

We invite you to participate in the evolution and enhancement of this toolkit. If you have developed or use quality resources that you think should be included, please use the feedback form to suggest them. The toolkit collaborators will review and consider your suggestions.

**How can I make a comment or give feedback about this toolkit?**

If you have comments about the toolkit, please use the feedback form. Your feedback will help to ensure that the toolkit remains up-to-date and is continually improved. For example, you can share ideas about how you have used the toolkit in your work so that others can adapt what they learn from your experiences.

**Who developed this toolkit?**

Management Sciences for Health (MSH) staff selected the resources based on a search of published literature. The resources are also based on staff experience working with Ministries of Health, non-governmental organizations (NGOs), civil society organizations (CSOs), and partner organizations to build the leadership and management capacity of health workers around the world.

**Which publishers have resources included in this toolkit?**

Resources selected for inclusion in this toolkit were published by the following organizations that work throughout the world to promote evidence-based best practices and improve the delivery of health services.

- Abt Associates, Inc.
- ACAS
- BASICS II
- BOND
- Capacity Project
- CARE
- EngenderHealth
- FHI 360
- Global Fund
- Health Workforce Advocacy Initiative
- Health Systems Trust
- Implementing Best Practices Consortium
- International Centre for Human Resources in Nursing
- International Council of Nurses
- International Hospital Federation
- International Pharmaceutical Federation
- International Planned Parenthood Federation (IPPF)
- Knowledge 4 Health (K4Health)
- Management Sciences for Health
- MEASURE Evaluation
- NASA
- NHS Institute for Innovation and Improvement
- National Managers Community
- National Minority AIDS Council (NMAC)
- Oxford University Press
- PATH
Leadership and Governance

The concepts of **leadership and governance** encompass strategic direction, plans and policies, effective oversight, regulation, motivation, and partnerships that integrate all health systems building blocks to achieve results.
Millions of people still die every year from infectious diseases and other preventible causes, no matter how much money we put into improving health services, health systems, educational campaigns, health worker training, equipment, and facilities. Medically, we know what to do to save these lives and significantly reduce illness. Scaling up these high-impact interventions and proven best practices is the key to preventing avoidable deaths and achieving major improvements in health. Scale-up is also essential to get on track to meet the Millennium Development goals for health. However, scale-up does not happen without inspired leadership and skilled management.

However, you do not have to be like Mother Teresa, Mohandas Gandhi, Nelson Mandela, or the Guatemalan Nobel Peace Prize winner Rigoberta Menchu to make a difference in the lives of others. Unlike each of these heroes, you do not have to make enormous personal sacrifices. You can be like the many health care managers and providers who have quietly - and without great personal sacrifice - made critical changes in their organizations that brought good services and good health to their clients. We believe that you can join these people by becoming a manager who leads.

Leadership involves strategically developing and implementing plans and policies with accountability and transparency. Good leadership, which requires the ability to face challenges to achieve results in complex conditions, can and should be practiced at all levels.

According to The Health Systems Assessment Approach: A How-To Manual (Islam 2007), good governance in the health sector is characterized by competently directing health system resources, performance, and stakeholder participation toward the goal of saving lives and doing so in ways that are open, transparent, accountable, equitable, and responsive to the needs of the people. For health care interventions to work, countries need effective policymaking, transparent rules, open information, and active participation by all stakeholders in the health sector. The concept of good governance has gained prominence as interest in improved economic performance and poverty reduction in developing countries has risen. Several other factors also highlight the need for good governance in the health sector:

- the growth of large new multisectoral bodies with responsibility for the oversight of complex partnerships;
- an unprecedented level of funding for health in developing countries;
- the trend toward decentralizing health systems and transferring governance functions to
lower levels of government;

- the urgent need to support and stabilize countries coming out of conflict.


Both governments and national and international nongovernmental organizations (NGOs) are feeling the pressure to be accountable for and transparent in the use of development funds and to work in the public interest.

As a manager of a health program or health services, you can?and should?exercise leadership at your level, whether you are the coordinator of a community health program or the Minister of Health responsible for the performance of the entire health system. This notion of leadership at all levels often surprises people, because they confuse leadership with authority. Authority is a role that people assume because of their position, but it is not synonymous with leadership. Leadership is about enabling people to identify and face challenges and achieve results. Facing a challenge means bringing about positive change in the way things are done. Leadership helps an organization be successful and create its desired future.

Click on the links below to access key materials on:

- Case Studies in Leadership
- Leadership Development
- Leadership Models
- Governance
- Management Skills

**Case Studies in Leadership**

**Resources:**

- Haiti: HIV/AIDS Rap Performed by Youth from MSH Leadership Program

In Haiti’s Cite Soleil area have resulted in a large population of disaffected youth who believe that this situation is hopeless. As part of Management Sciences for Health’s "Leadership
Development Program" funded by USAID in 2009, young participants from the Haitian NGO Maison l'Arc-en-Ciel (MAEC) learned that they can make a difference. In their rap song entitled "Apprends à faire face aux défis," (Learn to Confront Challenges) they share what they have learned (in Creole with English subtitles).

- **Scaling up proven public health interventions through a locally owned and sustained leadership development programme in rural Upper Egypt**

In 2002, the Ministry, with funding from the United States Agency for International Development and assistance from Management Sciences for Health, introduced a Leadership Development Programme (LDP) in Aswan Governorate. The programme aimed to improve health services in three districts by increasing managers' ability to create high performing teams and lead them to achieve results. The programme introduced leadership and management practices and a methodology for identifying and addressing service delivery challenges. Ten teams of health workers participated.

- **Seeds of Success**

The 21st century has brought more attention and funding to the health care systems of many developing countries. But increasing funding and medication, and even improving technology are not enough to overcome lack of empowerment and commitment of the health care staff on the front lines. Better leadership and management must also be developed. This short documentary film chronicles the four year journey, initially funded by USAID’s Office of Population, that the governorate of Aswan, Egypt embarked upon to develop greater leadership within all levels of its health care staff. The video shows an innovative process that develops leaders at all levels, including the front lines of health care, to identify challenges and work in teams to overcome obstacles and achieve service improvements. In their own words, doctors, nurses, and outreach workers of hospitals and clinics throughout the region, tell the story of how they became empowered and what they did to improve health results in family planning and maternal child health. Participants share how they worked to improve health care services and indicators in their own communities and expand the program to health units throughout the region using only the resources at hand.

- **Civil Society Success on the Ground -- Community Systems Strengthening and Dual-track Financing: Nine Illustrative Case Studies**
Through the use of country-level case studies, this publication highlights examples of substantial civil society involvement in all aspects of Global Fund processes from grant management to service delivery. The case studies are not intended to provide in-depth, step-by-step guidelines for interested organizations and stakeholders. Instead, they aim solely to show the range of innovative options that many civil society groups have already identified and implemented within their specific contexts. This publication was coordinated jointly by the International HIV/AIDS Alliance and the Global Fund. The Open Society Institute provided financial support. Of the nine case studies, five (Cambodia, India, Mongolia, Senegal and Ukraine) focus specifically on the involvement of Alliance linking organizations in those countries. The other four (Peru, Somalia, Thailand and Zambia) consider civil society engagement as it would pertain to management and oversight of existing Global Fund grants.

Leadership Development

Resources:

- **Health Systems in Action: an eHandbook for Leaders and Managers**

  This electronic resource provides you, as a manager of a health program or health service, with both practical and theoretical information that will help you strengthen and align the building blocks of your health system to achieve results and save lives.

  The eHandbook emphasizes the central, critical element of every health system: people. It shows how to build leadership and management skills for yourself and your organization. It also covers management of the specific systems essential to an overall health system—governance, human resources, finances, supply management, health information and associated monitoring and evaluation, and health service delivery. A chapter on planning describes how to formulate a strategic plan for your program or organization.

- **Guide for Training Community Leaders to Improve Leadership and Management Practices**

  To be better leaders, we must be better people, take actions that bring us closer to our communities, and use the best management tools and strategies available. The Guide for Training Community Leaders to Improve Leadership and Management Practices is designed for individuals, teams of managers, or institutions from the public health sector and other sectors of civil society that work at the community level. This guide can be used as
supporting material in the implementation of community-based programs and projects to strengthen the local management of municipalities and the improvement of health, education, and other social welfare services.

This guide is divided into two parts. The first section is geared to facilitators; it provides ideas to guide the training process, techniques, group dynamics, and key points. The second part, divided into five units, provides session guides for facilitators to conduct each of the five workshops. Each unit provides detailed guidance on time management, facilitation techniques, materials, and evaluation. Annexes at the end of each unit contain materials for workshop participants, including readings and exercises to distribute during the workshops.

•  
**Capacity Change and Performance: Insights and implications for development cooperation**

This research provides fresh perspectives on the topic of capacity and its development. It does so by highlighting endogenous perspectives: how capacity develops from within, rather than focusing on what outsiders do to induce it. The research also embraces ideas on capacity development drawn from literature outside the context of development cooperation.

•  
**Menu of Indicators on Management and Leadership Capacity Development**

The purpose of the Menu of Indicators is to serve as a reference tool to guide the selection of indicators in the areas of management and leadership capacity development. The Menu of Indicators is organized into four sections:

  - Indicators of Organizational Management Capacity?The indicators in this section focus on several management systems as defined by Management Sciences for Health (MSH) as essential systems for effective organizational performance. These management systems include planning, human resource management, management information system, quality assurance, financial and resource management, logistics, and monitoring and evaluation. The indicators in this section cover both the immediate outcome of a given intervention and its use.
  
  - Indicators of Work Group and Organizational Leadership Capacity?The indicators in this section cover both immediate and intermediate results of leadership capacity development at the work group and organizational level. At the work group level, the indicators are designed as a simple self-assessment tool that a team can apply periodically to monitor its use of the leading practices which include scan, focus, align and mobilize, and inspire. At the organizational level, the indicators measure the extent to which an organization routinely address and supports ongoing leadership capacity building.
Indicators of Organizational Sustainability? The indicators in this section measure beyond organizational and work group capacity at the operational level to organizational performance in the face of change.

Program Specific Indicators? This section provides indicators for specific programs offered by the Leadership, Management and Sustainability (LMS) Program or MSH such as the various virtual projects and networks.

- An Urgent Call to Professionalize Leadership and Management in Health Care Worldwide

The objective of this paper is to galvanize action so that all current and future health managers will be well prepared to lead and manage to achieve results. The paper describes this challenge in the words of the health care providers and managers coping with difficult circumstances; indicates developments that point the way toward improving these dire conditions; outlines new paradigms that can be part of an urgently needed solution; and recommends actions to move forward.

- Leadership Development: Leading Transformations at the Local Level

This document examines the role of leadership development in capacity development. It provides specific evidence of existing leadership programmes and reviews the various methodologies and materials. The document also provides sample methodologies and an overview of the lessons learned for programming. The document discusses the leadership concept? as well as power vs authority, leadership typology, local leadership development strategy in application, the role of civil society and emerging groups, and operational implications for leadership development.

- Managers Who Lead: A Handbook for Improving Health Services

Health program managers everywhere grapple with the same challenges: Tackling complex health problems with limited resources. Defining priorities. Inspiring staff. Initiating change. Demonstrating measurable results. Managers who lead empowers health managers at all levels of an organization to lead teams to face challenges and achieve results.

Chapter 1: Leading and managing to achieve results
Chapter 2: Leading teams to face challenges
Chapter 3: Improving work climate to strengthen performance
Chapter 4: Moving up the leadership ladder  
Chapter 5: Reorienting roles in the health system  
Chapter 6: Leading change for better health  
Toolkit: Resources to support managers who lead

• The Manager Volume 10 Number 3: Developing Managers Who Lead

This issue of *The Manager* shows how managing and leading can be practiced at the same time by managers at all levels. It discusses effective leadership values and practices that exist around the world. It explains how managers can, individually and together, undertake leadership development to become the kind of leaders who “when their work is done...people...all say: ‘We have done it ourselves.’” (Lau Tsu 1997, verse 17)

• OPS 6: A Tool for Project Management and People-Driven Development

This document summarizes the proceedings of a workshop held by INTRAC with the South Research in 1994 to discuss the use of the Logical Framework Approach (LFA) and the Objective Oriented Intervention Planning (OOIP).

• The Health Manager's Toolkit: Leadership Development

The Manager's Toolkit provides many cutting edge leadership development tools. These tools largely focus on strengthening leadership capabilities at all levels, and include self-assessments and skill-building exercises designed to increase managers’ self-awareness and self-confidence. The Toolkit offers instruments for improving one’s own leadership practices, and for increasing team effectiveness. There are also work climate assessment tools to gauge how well a work group is functioning, and coaching tool to enhance individual and team performance.

Leadership Models

Resources:

•
Leadership Qualities Framework

The site brings together all current information about the Leadership Qualities Framework (LQF) and explains how it can best be used to enhance leadership in your organisation. It has been designed for people with no experience of the LQF as well as those who use the LQF on a regular basis. It combines personal development advice with best practice approaches and real-life examples to show how the LQF can be used to support leadership development and other talent management initiatives.

• Guide to Building Women of Faith Networks

This guide offers tools and ideas to support women of faith in gathering together, establishing a collective vision for social transformation, and creating change at all levels. Content includes sample workshop outlines, a collection of good practices, fundraising and partnership development recommendations, and other planning/advocacy strategies. These resources will help users strengthen awareness regarding the critical role women of faith play in efforts aimed at promoting peace, protecting the earth and advancing shared security. It provides practical models for building new women of faith networks; and guidelines on how to effectively integrate women of faith networks into the larger Religions for Peace global network of Inter-religious Councils.

• Guide to Fostering Change to Scale Up Effective Health Services

The Guide to Fostering Change to Scale Up Effective Health Services includes two tools: an online course, "Fostering Change in Health Services," offered via the Global Health E-Learning Center of the USAID Bureau of Global Health, which builds capacity of senior levels to support change at local levels; and a manual, A Guide to Fostering Change to Scale Up Effective Health Services, developed by the Implementing Best Practices in Reproductive Health (IBP) Consortium by the IBP/Maximizing Access and Quality (MAQ) Change Task Team. Both link effective change practices with proven clinical and programmatic practices to achieve results. Content includes the principles for fostering and leading change, a 'how-to' process for fostering change, and illustrative examples of fostering change.

• Challenge Model
The Challenge Model offers a systematic approach for working together as a team to identify and face one challenge at a time and achieve results. The tool leads you through a process of forming a commitment to a shared vision that contributes to realizing your organization’s mission, defining and owning a challenge, prioritizing actions for implementation, and carrying out the work plan to achieve results.

- **Raising funds and mobilising resources for HIV/AIDS work: A toolkit to support NGOs/CBOs**

  This toolkit and training resource shares practical technical support, and aims to help NGOs/CBOs plan and carry out resource mobilisation strategically and systematically, to obtain maximum returns for the least effort, while remaining true to their mission.

- **Guide to Leveraging: How to Mobilize and Diversify Resources for Reproductive Health**

  The Guide can be applied to range of different resources including cash grants, in-kind donations, and technical advice. Working systematically through the Guide leads the user to the development of a leveraging strategy tailored to the organization. The Guide provides exercises designed to help the user map out the broad financing options available to their organization, and to collect basic information on these. It then explains how to conduct an organizational analysis through 1) preparing/revising a mission statement, 2) doing an organization diagnosis, and 3) analyzing the existing income base. Next, it outlines a procedure for determining amounts and kind of resources to be leveraged and presents a resource matrix to guide the user on how to make a good match between potential sources of support and organizational needs. The concluding section offers pointers on how to implement the leveraging strategy. This Guide can help organizations tackle the difficult task of securing the financial support needed to ensure their future by going through a process to mobilize additional resources to support the provision of services.

- **The NASA Leadership Model**

  NASA’s Leadership Site houses the Agency’s Leadership model. The site also includes information about NASA’s leadership programs, self-assessments based on the Leadership Model, as well as tools and recommendations for personal development.

  NASA has developed a leadership model that has 39 different skills and indications of staff
The NASA Leadership Model consists of five "models", one for each of five leadership roles. For each model, the first two levels are the same?Dimensions and Competencies. There are 5 Dimensions and 20 Competencies (or second level elements) of the Model. The Competencies consist of measurable skills, knowledge, or personal characteristics that have been demonstrated to be essential to effective leadership in the Agency. The Dimensions and Competencies are as follows:

- Discipline Competency
- Results Driven
- Communication and Advocacy
- Maintain Credibility
- Safety
- Understanding of Discipline
- Managing Information and Knowledge
- Awareness and Use of Information technology
- Knowledge Management
- Business Acumen
- Internal and External Awareness
- Organizational Culture
- Organizational Strategy
- Business Development
- Business Management
- Customer, Stakeholder, and Partner Relationships
- Leading People
- Leading and Managing Change
- Leading Teams and People
- Personal Effectiveness
Personal Capabilities and Characteristics

Relating to Others

Cognitive Skills

The final two levels of the model are Skills and Behaviors. These two levels are individualized depending on the person's management level (Influence Leader, 1st Line Supervisor, Manager, Senior Leader, and Executive). Skills are the abilities or proficiencies that are often developed through training or experience. Behaviors are the aspects of an individual's performance that indicates their proficiency within a skill.

The NASA site also includes:

- Developmental Resources? Recommended resources for personal development for each of the Leadership Model's 39 skills. Resources include training courses, readings, and on-the-job activities.

- Assessments of Leadership Skills? These assessments are on-line, self-assessments providing immediate feedback. They are based on the Leadership Model and scores are linked to developmental resources.

Finally, the site has a useful page for Resources which includes overviews of current literature on leadership as well as related websites.

Guide to Gender Mainstreaming for Inter-religious Councils

With this guide, IRC members can review Religion for Peace's gender mainstreaming policy and find specific guidelines and examples of how to include gender into all programs and activities. This guide also includes ways in which an IRC can engage the leadership of women. The reader can find information on working with women of faith networks, establishing ongoing communication and collaborating on programs and activities. Examples of effective practices at all levels as well as achievements of the networks can be used across regions to inspire network members and provide them with new ideas in their strategic planning in this guide. The goal of Religions for Peace in producing this guide is to help religious leaders incorporate gender issues into all of their work on peace-building, conflict transformation and sustainable development. The purpose of the guide to ensure that women of faith are included in the leadership and decision-making of Inter-religious Councils, (IRCs), and to include gender issues in the activities of the councils. Mainstreaming gender into the work of IRC's does not mean only that women's issues should be included in their work; but
that IRC's must to take into account the different realities men and women face in the process of achieving peace and sustainable development and plan their actions accordingly. Therefore, mainstreaming gender into the work of IRCs means that women have more of a voice, that women's issues, such as maternal/child health and violence against women are addressed, and that the very different ways in which men and women are impacted by conflict, poverty, and other sustainable development issues are taken into account in all plans and activities.

Management Skills

Resources:

- Dashboard for Management Decision-making

  The Standard Management Dashboard is a custom tool that puts concise programmatic, financial, and management information at the fingertips of managers, board members, and donors that allows for quick decision making and performance improvement.

- Health Systems in Action: an eHandbook for Leaders and Managers

  The topic of effective health systems is on everyone's mind these days. Much is known about the elements of a health system, and many frameworks exist. Yet there is still a major gap related to the "how" of making health systems work. This handbook brings together effective practices in leadership, management, and governance from decades of MSH's worldwide field experience in public health. It includes effective practices in key management systems that all work together to improve health. In addition, it draws on the practical approaches for leading and managing available in Managers Who Lead: A Handbook for Improving Health Services, which was published in 2005 and reprinted in 2009. The aim of this resource is to provide implementers with a comprehensive, practical guide and a set of tools and resources that address common issues in leading and managing health services. This handbook was designed as an electronic resource easily accessible on the Internet, to be read online, printed, and downloaded.

- The eManager: Coaching for Professional Development and Organizational Results
This issue of the eManager will help you examine your managerial practices and give you the tools to expand your role from manager to manager as coach. Using the OALFA (Observe, Ask, Listen, give Feedback, and reach an Agreement) self-assessment, you can evaluate your coaching skills and make a plan to refine and apply them.

**Project Cycle management: CBO training toolkit**

This training toolkit aims to build the confidence and skills required by community-based organizations (CBOs) to develop and manage their HIV/AIDS projects more systematically through project cycle management. While the toolkit was developed for use by facilitators involved in the training of these CBOs, it can also be used by NGOs/CBOs themselves to implement training within their organizations. Ideally, people using this toolkit should already have some basic facilitation skills and some previous experience of designing and managing community level HIV/AIDS projects. The toolkit describes a workshop scenario providing a range of participatory activities which can be carried out to build skills. The participatory activities outlined for each topic include instructions for the activity, facilitator’s notes, suggestions for time allocation and room layout; and a list of materials required. Topics covered include: Introducing the project cycle Stage 1: Assessing needs; Stage 2: Planning the project; Stage 3: Implementing and monitoring the project; Stage 4: Evaluating the project; Stage 5: Learning from the project and evolving.

**Workgroup Climate Assessment (WCA) Tool and Guide for Facilitators**

The primary use of the WCA is to measure workgroup climate. Its secondary purpose is to engage workgroup members in a conversation about their particular climate so that together, they can find ways to improve it. The WCA encourages a participatory process - team members individually respond to the survey and afterwards they are encouraged to discuss and act upon the results together.

Workgroup Climate is the prevailing workplace atmosphere as experienced by employees. It is what it feels like to work together in a group. As a positive work climate encourages and sustains employee motivation and high performance, a manager should focus on assessing and improving climate.

The WCA is a simple, reliable, and validated tool designed to measure climate in intact workgroups at all levels of an organization. In a Ministry of Health, this includes workgroups or teams at the local (clinic) level all the way up to workgroups at the central level. For a nongovernmental organization (NGO) this includes technical and administrative teams as well as the executive management teams.

The WCA Guide for Facilitators consists of the following components:
The first part of the Guide provides an overview of climate and the Workgroup Climate Assessment (WCA) tool and explains how to use the WCA as part of an organizational improvement process. The annexes of the Guide include all the necessary materials for facilitating a short workshop to administer the WCA with a workgroup and analyze the results. Facilitators who will be using the WCA with a workgroup should read the entire Guide to become familiar with the tool, its participatory philosophy, and the steps involved in using it.

- **Strengthening Management in Low-Income Countries**

  Management capacity is often cited as a constraint to achieving public health goals, yet the course of change remains unclear. This paper summarizes key challenges and effective strategies in developing middle management capacity in low-income countries, and the role of the international community.

- **The Manager, Volume 13 Number 3: Leading Changes in Practices to Improve Health**

  This issue of *The Manager* focuses mainly on leading changes in practices that improve health, rather than on overall strategic and structural change. The issue can help health managers work with a team as change agents to address community and organizational challenges that require a change in clinical or management practices. It spells out key success factors for change and presents the five phases of a change process. It offers ways to work with people's responses to change and provides a change agent’s guide to action to carry out a successful change effort.

- **Coaching Practices for Managers**
This document provides guidance on how to coach team members to achieve excellence, covering topics such as:

- Working with Complaints
- Listening for Commitment in Complaints
- Challenging Generalisations
- Working with Assessments
- What’s Missing?
- Working with Moods
- Three Types of Conversations
- Working with Recurrent Problems

The Manager, Volume 11, Number 3: Creating a Work Climate that Motivates Staff and Improves Performance

Health managers are under pressure to achieve sustainable results. To meet this challenge, managers must develop high-performing work groups and cultivate a positive work climate that fosters staff motivation. A positive work climate encourages and sustains staff motivation. In fact, experience in industry has shown that a positive work climate can account for nearly 30 percent of improvements in financial results. How can the findings in industry be used to improve employee motivation and organizational results in the health sector? Managers can often sense when the work climate is affecting staff’s performance. Absenteeism, unmet performance objectives, lack of initiative, and reduced interest in their work or organization are signs that a work climate may be less than optimal and that staff may be holding back the “discretionary,” or extra, effort they could bring to their jobs. Managers can often turn their work groups around by applying leadership and management practices that promote on-the-job clarity, support, and challenge.

This issue of The Manager outlines the connections between work climate, employee motivation, and performance. It describes how managers can assess the climate in their work group and shows how they can use the results to make changes in leadership and management practices that will motivate their group to do the best work possible and improve results.

Advocacy

Resources:

- Straight to the Point: Setting Advocacy Priorities
The Straight to the Point advocacy tools are intended for organizations that want to include in-country advocacy and public policy work among their programmatic strategies. Setting Advocacy Priorities will help you take the first step in developing an advocacy initiative?selecting an issue for advocacy.

• **Straight to the Point: Assessing the Political Environment**

The Straight to the Point advocacy tools are intended for organizations that want to include in-country advocacy and public policy work among their programmatic strategies. Assessing the Political Environment for Advocacy will help you understand the environment you are working in and the key factors you need to consider as you develop your initiative.

• **Straight to the Point: Mapping an Advocacy Strategy**

The Straight to the Point advocacy tools are intended for organizations that want to include in-country advocacy and public policy work among their programmatic strategies. Mapping an Advocacy Strategy (this tool) will help you plan a concrete strategy for achieving your goal, including determining your specific activities.

• **Capacity Development in Humanitarian Crises: Practice and lessons learnt about strengthening civil society organizations**

PSO Capacity Building in Developing Countries unites 58 Dutch development INGOs in their support to the capacity development of their civil society partner organisations in the South. This Praxis Note summarizes the lessons learnt from 5 years of PSO support to capacity development of CSOs in crises, and looks at the trends of capacity development practice in the Dutch INGO members of PSO.

• **Women of Faith Transforming Conflict: A Multi-Religious Training Manual**

The goal of this manual is to effectively mobilize, equip and mainstream religious women working for peace under some of the most difficult circumstances around the globe. By supporting and strengthening the efforts of women of faith, we build the capacity of all faith
communities to transform conflict. This guide is aimed at providing step-by-step sessions for trainers working on three issues: (1) Conflict Transformation; (2) Communication and Leadership Skills; and (3) Media and Advocacy. These activities were first presented in the West African regional training in Sierra Leone by talented local facilitators. Several additional activities were used in follow-up training in Liberia and in Bosnia-Herzegovina. One can facilitate these activities in the same order they are given or pick and choose how and when to use them. This guide also includes background information on why it is imperative to include women in peacebuilding/conflict transformation activities.

- **Standard Packages of Activities: Men Who Have Sex With Men**

The primary goal of this document is to assist partners in appropriately and effectively developing, adapting, costing and implementing their activities. The document outlines comprehensive packages of priorities for populations at risk of, affected by, or already infected by HIV. The contents of these packages have been directly informed by partners of KHANA (the International HIV/AIDS Alliance's linking organisation in Cambodia), the beneficiaries of KHANA programmes, government initiatives and the programmes of other stakeholders. Each package is divided into four sections: prevention, impact mitigation and health, capacity building, and supporting environment. Each section is further divided into key areas of focus and for each area there is a list of activities and objectives.

- **Accreditation Standards and Criteria Guidelines**

This internal accreditation system assesses Alliance members against high institutional and programmatic standards to improve their HIV responses and accountability to the communities they serve. It is also used to assess organizations seeking membership to the Alliance. The assessment is performed over three stages. The first is a self-assessment, to enable an organization to determine whether it is ready for an accreditation field review. The second stage is a field review by an accredited Alliance team. In the final stage, a decision is made by the Alliance's accreditation committee and Board of Trustees.

- **Capacity Change and Performance: Insights and implications for development cooperation**

This research provides fresh perspectives on the topic of capacity and its development. It does so by highlighting endogenous perspectives: how capacity develops from within, rather than focusing on what outsiders do to induce it. The research also embraces ideas on
capacity development drawn from literature outside the context of development cooperation.

- **Training Guide: Faith in Action: Working Toward the Millennium Development Goals**

  This tool kit was developed to equip religious leaders and inter-religious councils to carry out advocacy and action campaigns at the community, national, regional and global levels to support achievement of the Millennium Development Goals (MDGs). This resource includes strategies and planning activities for religious leaders to empower their faith communities to raise awareness about the MDGs and to take action; to build networks and coalitions with like-minded communities around the world; to advocate that policy makers honor the commitments they made when they signed the Millennium Declaration in 2000; and to engage both local and national media to promote the MDGs.

- **Challenge of capacity development: working towards good practice**

  Examples of capacity development in various settings.

- **Mapping HIV/AIDS Service Provision for Most At-Risk and Vulnerable Populations in the Greater Mekong Sub-Region**

  "The result of a data collection and mapping exercise in the greater Mekong sub-region in Asia, this publication helps HIV/AIDS programmers and policy makers identify gaps in service provision for most at-risk and vulnerable groups. The publication helps identify existing programs for sex workers, men who have sex with men, intravenous drug users, and people living with HIV and AIDS in Burma, Yunnan Province in China, Laos, Thailand, and Vietnam. Since understanding the scope and nature of existing programs is essential to developing comprehensive programming for these groups, this publication is a valuable resource for planning HIV and AIDS activities in the greater Mekong sub-region. An overview of results from the five countries is included, as is a breakdown by country and by population group within each country. In addition to summarizing the results, the publication includes recommendations for working with the different population groups within each of the five countries."
AIDS Councils as Catalysts for Unlocking Citizen Power

Guidelines to mobilize civil society and build multisectoral partnerships to tackle HIV/AIDS. This manual, published by Institute for Democracy in South Africa (IDASA), aims to provide information for non-governmental organizations (NGOs) to develop and mobilize civil society's engagement with AIDS councils and build effective governance of the HIV/AIDS pandemic. The guide contains a step by step approach to organizing a one and a half day workshop. This workshop enables participants to understand the role of AIDS councils in building multi-sectoral partnerships to tackling HIV/AIDS, identify potential collaborative partners and promote community ownership of HIV and AIDS issues. Operational details include information on the optimal number of participants and venue selection through to trainer’s notes and workshop outcomes. There is a detailed programme with sessions such as facts about AIDS councils and tapping into diversity. Also included are thorough instructions for each session outlining the aims, learning outcomes and materials needed. There are handouts of the workshops timetable and several background documents on the composition, structure and functions of AIDS councils, as well as roles of AIDS council members and other stakeholders. The manual also stresses the importance of taking local context into consideration when the workshops are given. The authors aim is for this manual not only to be used by civil society but also by the AIDS councils themselves.

• **Advocacy Expert Series Module 1: Advocacy Campaign Management**

In this first module in the Advocacy Expert Series, Pact explores the different strategies for research and planning, choosing an effective series of actions, identifying our targets, and evaluating the results of the campaign.

• **Advocacy Expert Series Module 2: Building Relationships with the Government**

The purpose of this book, the second in the Advocacy Expert Series, is to examine how a Non-Governmental Organization (NGO) can build strong relationships with members of the government and persuade them to implement an advocacy goal.

• **Advocacy Expert Series Module 3: Working with the Media**
The purpose of this book, the third in the Advocacy Expert Series, is to examine the media’s power and influence in society and explore the ways in which an advocacy campaign can benefit from a strong relationship with the media.

- **Advocacy Expert Series Module 4: Building and Maintaining Coalitions**

  "The purpose of this book, the fourth in the Advocacy Expert Series, is to explore methods of creating and sustaining coalitions that will assist a NGO in advancing the goals of our advocacy campaign."

- **Advocacy Expert Series Module 5: Advocacy through Legal Services**

  The purpose of this book, the fifth in the Advocacy Expert Series, is to explore how an NGO can use the legal system to improve the lives of people and advance the goals of an advocacy campaign.

- **How To Mobilize Communities for Health and Social Change**
The growing body of evidence in the international development field repeatedly demonstrates that communities can make deep and lasting contributions to their own health and well-being and, through example and imitation, to the health and well-being of other communities. This field guide has been designed to be used by health program directors and managers of community-based programs who are considering using community mobilization to improve health at the individual, family, and community level. It may also be useful for directors and technicians in governmental and nongovernmental organizations working in public health and human development and other groups and organizations committed to community health, such as churches, universities, philanthropists, and donors. No prior community mobilization experience is required to use the field guide, but any experience that you have will enhance your understanding. The field guide contains illustrative examples and lessons learned in community mobilization experiences from around the world, focusing on working with disadvantaged or marginalized groups in developing countries. The characteristics of each country and each region are very different, so the field guide does not recommend a unique strategy for community mobilization but offers instead general principles and methods which will need to be adapted to local settings and conditions.

- **Advocacy in Action --- A Toolkit to Support NGOs and CBOs**

This resource aims to help non-governmental organizations/community-based organizations (NGOs/CBOs) to have a clear understanding of what advocacy is and how it might support their work, as well as to provide practical assistance in how to undertake advocacy work. It is a flexible toolkit that can be used by NGOs/CBOs with different levels of experience in advocacy, and can be used with an external facilitator or self-administered. NGOs and CBOs have found it beneficial to use the Alliance’s toolkit on building partnerships - Pathways to Partnerships - before moving on to this toolkit, since many of the skills that are addressed are also useful for advocacy, particularly at the local level. A second Alliance toolkit, Documenting and Communicating HIV/AIDS Work, also has useful, complementary activities and information to support advocacy.

- **Building Analytical and Adaptive Capacity: Lessons from Northern and Southern NGOs**
A key purpose of this paper is to take a look at some of the assumptions of capacity building in order to generate a more realistic perspective on its possible effects and uses. What kinds of capacity building activities are most commonly undertaken by NGOs and supported by donors or funders? What impacts do they have on organizational effectiveness, especially with respect to mission achievement?

- **Four approaches to capacity building in health: consequences for measurement and accountability**

  The term capacity building has been used in respect of a wide range of strategies and processes which have the ultimate aim of improved health practices which are sustainable. After defining capacity building, this paper explores the processes and strategies associated with four distinct approaches to capacity building, considers the role of funding bodies, and begins to question how these factors impact on the evaluation of capacity building.

- **Good Practice Guide: HIV and Drug Use**

  This guide aims to support the scale up of community-based HIV and harm reduction programmes in developing and transitional countries. It looks at practice and research in developing and transitional countries and the principles underlying practice and research in resource-rich countries. It also sets out an approach to programming at the community level, where communities are fighting poverty, rapid social change, in settings where there are low levels of capacity or political support for harm reduction programmes.

**Governance**

**Resources:**

- **Govern4Health App**

  The Govern4Health App was created by Management Sciences for Health to provide health leaders basic information on four essential practices of good governance.

  1. Cultivating accountability
  2. Engaging stakeholders
  3. Setting shared direction
4. Stewarding resources
Govern4Health demystifies health governance by providing practical tasks and activities for health leaders, managers, and those who govern. The app also offers evidence on why governance matters, along with a tool to assess your gender responsiveness and tips on how to continually enhance your governance.

We are pleased to share the beta version of this app with our colleagues around the world.

• **eManager: How to Govern the Health Sector and its Institutions Effectively**

Working in the tradition of Management Sciences for Health's (MSH) “The Manager” and “The eManager” publications, the Leadership, Management & Governance Project (LMG) has produced this eManager with our latest findings about global health governance and how health leaders can contribute to better governed institutions to ultimately improve health services for the people they serve.

What is Governance? How can those working in the health sector practice good governance to strengthen their ministry or institution? What practices enable effective governance and how can these be embraced for the greatest positive outcomes? The LMG project answers these questions in its newly launched eManager: How to Govern the Health Sector and its Institutions Effectively.

• **Human Resource Governance: What does governance mean for the health workforce in low- and middle-income countries?**

This paper examines health system strengthening as it occurs in the intersection between the health workforce and governance by presenting a framework to examine health workforce issues related to eight governance principles: strategic vision, accountability, transparency, information, efficiency, equity/fairness, responsiveness and citizen voice and participation.

• **LMG for Results Model: Governance Practices**

Produced by the Leadership, Management & Governance Project (LMG), the LMG Results Model for Governance Practices includes a matrix of governance practices, principles and governing actions, as well as the detailed Conceptual Model: Leading, Managing and Governing for Results.

• **Perspectives from the Field? interviews, 2012**
The Leadership, Management, and Governance (LMG) project team sought to understand governing in the context of health from the perspective of people who lead, manage, or govern within the health sector or the health institutions in low and middle income countries. Their perspectives were distilled from interviews regarding: what constitutes governing and effective governing in particular in the context of health; what its enablers and deterrents are; what link it has with quality of health service and health outcomes; what gender issues are involved; and how governing interacts with leading and managing. These insights are judged important to devise interventions and processes to improve governance to achieve better health outcomes. We used a qualitative study design consisting of key informant interviews with the people who lead, govern and manage in this context. We conducted 25 such key informant interviews across Africa, Asia and Latin America.


This literature review, carried out by the USAID Leadership, Management, and Governance (LMG) project, was conducted to help identify key concepts and practices that inform the development and use of technical assistance and leadership development training of those who govern in the health sectors of low- and middle-income countries (LMICs). Insights have been distilled from the extensive studies of health sector governance by the WHO, the World Bank, the OECD, BoardSource, and the Governance Institute. These insights are intended to guide studies among LMIC health sector leaders around key governance principles and practices that might shape the design of USAID strategies for health system strengthening, country ownership, inform interventions carried out by the LMG project, and ultimately improve health outcomes in LMIC health sectors.

This is a work in process. The research agenda is to extend throughout the next four years of the LMG project.

- Discussion Brief, USAID LMG Governance Roundtable, May 2012

From Principles to Practices: Roundtable on Governance for Health in Low and Middle Income Countries. This short paper frames the discussion for the May 18, 2012 Roundtable on Governance for Health at the Brookings Institution. The Roundtable was convened to define key principles and practices of governance for improved health systems performance and outcomes in Low and Middle Income Countries (LMIC), in order to shape the next four years work of the USAID supported Leadership, Management and Governance Project.

This study, second of its kind to our knowledge, on governance in the sector of health in low- and middle-income countries, carried out in February-March 2012 by the USAID-funded Leadership, Management and Governance (LMG) project, surveyed 477 health leaders, managers, and those who govern in the health sector in 80 low- and middle-income countries to identify perceptions and opinions of the respondents on practices, impediments, and enablers of effective governance for health. These health practitioners were also asked about the outcomes of effective governance for health as well as their ideas concerning the relationship between leadership, management and governance in health.

Leading and managing: Critical competencies for health systems strengthening

Chapter 2 of Health Systems in Action: An eHandbook for Leaders and Managers makes the case for putting people—health managers, providers, and users of health services—at the center of health systems strengthening. When you examine the health system building blocks that contribute to positive health outcomes?leadership and governance, human resources, financial management, health information, supply management, and health service delivery?you will see that none of them can operate without skilled, supported, and motivated people. These people may work in their neighborhoods, in health centers or hospitals, or at all levels of government.

This chapter introduces the Framework for People-Centered Health Systems Strengthening, which takes into account the connections between systems and the people who provide and use them. At the center of the framework are the management and leadership skills of the people who design and operate the health management systems needed to deliver efficient, effective, high-quality health services to clients and their communities.

Promoting good governance in public and private health organizations

Chapter 3 of Health Systems in Action: An eHandbook for Leaders and Managers defines good governance in the health sector. It describes how governance can be strengthened at many levels, ranging from communities and civil society organizations (CSOs) that oversee health services to senior leaders who oversee the effective use of millions of dollars in grants. The first part of the chapter outlines frameworks and tools for strengthening systems, structures, and leadership practices in the public sector. It also addresses good governance in the public sector and introduces its components:

- information and assessment capacity
- policy formulation and planning
- social participation and system responsiveness
- accountability, transparency, and regulation

We apply these components to three contexts in which the need for good governance in the public sector is emerging as a critical issue:

- complex multisectoral bodies
- decentralized organizational structures
- conflict-affected countries

The second section addresses good governance for CSOs—faith-based, community-based, and nongovernmental organizations—and offers frameworks and tools to improve governance in these types of organizations.

- **Guide to Effective CSO Governance**

The purpose of the guide is to provide written material as a self-learning tool or to trainees participating in the course on NGO governance as well as to provide reference materials on NGO governance after the course has ended. The Guide is organized in a question-and-answer format and provided responses to 20 essential governance questions.

- **Planning the Work and Working with the Plan**

Chapter four of *Health Systems in Action: An eHandbook for Leaders and Managers* defines good governance in the health sector. It describes how governance can be strengthened at many levels, ranging from communities and civil society organizations (CSOs) that oversee health services to senior leaders who oversee the effective use of millions of dollars in grants. The first part of this chapter addresses good governance in the public sector and introduces its components:

- information and assessment capacity
- policy formulation and planning
- social participation and system responsiveness
- accountability, transparency, and regulation

We apply these components to three contexts in which the need for good governance in the public sector is emerging as a critical issue:

- complex multisectoral bodies
- decentralized organizational structures
- conflict-affected countries

Whenever there are changes in the health system, it is likely that at least some of the new roles are not spelled out in sufficient detail. The RAMP is designed to reveal and compare perceptions of health managers or stakeholder representatives regarding the distribution of responsibility and authority among management levels or stakeholder groups. The RAMP can be used to contrast perceptions about all nine functional areas (from health service delivery to health communication) that are required to manage a national health system. It can also be applied to examine how managers in one organization view the roles in managing a single area, such as personnel or financial resources. The RAMP can be used to:

- assess whether health managers or stakeholders currently share the same perceptions of how responsibility and authority are distributed;
- examine opinions about the way these powers should be allocated in the future;
- analyze perceptions at different points in time to see whether management roles become clearer over time; and
- study whether the distribution of management responsibility and authority shifts in a desired direction.

The RAMP instrument consists of a set of worksheets in Excel. The data collection sheet lists all functional areas and functions that are critical for managing a health system or an organization.

• Board Development

The National Minority AIDS Council (NMAC)'s Board Development manual is part of the NMAC's Organizational Effectiveness Series. It was designed to advance leadership skills among communities of color to address the HIV/AIDS challenge. It is intended primarily for non-profit community-based organizations' (CBO) board and staff members, and provides tools to help readers explore the roles and responsibilities of board members and the difference between governance and management. It also examines the importance of board selection and composition, and provides models for orientation and training for board members. The Board Development manual takes implementers through the phases of assessment, strategic planning, and implementation, and addresses strategies for responding to board changes and assessing the effectiveness of both the board and the CBO.

- State the role of nonprofit boards
- Identify the major responsibilities and obligations of individual board members
- Identify strategies for strengthening the board's composition and structure
- Explain the working balance between board and staff members
The Health Manager's Toolkit: Governance

The Health Manager’s Toolkit offers some useful tools and instruments for strengthening NGO board governance and the governance of Global Fund Coordinating Mechanisms. These include tools to assess the roles, responsibilities and effectiveness of boards; as well as the roles and functions of Global Fund Country Coordinating Mechanisms and implementing agencies in receipt of PEPFAR fund.

Human Resources

We define human resources as sufficient and fairly distributed staff, including management, administration, and service providers, that are skilled, equipped, supported and motivated to provide quality health services.

Human resource management is a critical management area that is responsible for any organization’s most important asset: its people. HRM typically accounts for 70 percent to 80 percent of an organization’s budget. When organizations manage their investment in people wisely, the result is a satisfied and motivated workforce that delivers high-quality health services and an organization that fulfills its mission, meets its health objectives, and contributes to its community by providing excellent services.

Despite the critical importance of human resources to the functioning of health systems, few concerted efforts have addressed the severe staff shortages facing the health sector in many developing countries. The AIDS pandemic has intensified an already serious situation, and the ability of many countries to meet the Millennium Development Goals is further hampered by deficiencies in organizations? HRM policies and systems.

In many countries, the key challenges include finding ways to:

- increase employee satisfaction and productivity despite understaffing, poor salaries, and lack
of resources;

- obtain accurate data and conduct effective workforce planning using underdeveloped employee information systems;

- obtain workers with needed skills and competencies in the face of reduced staffing levels caused by AIDS, the migration of health professionals, and poor working conditions in remote areas;

- shift tasks to cadres of workers who have, or can easily develop, the needed skills;

- provide efficient and effective HRM and supportive supervision when managers lack HRM skills and there is weak organizational advocacy for HRM.

These challenges can be addressed with an effective HRM infrastructure. However, the reality is that HRM is perhaps the most misunderstood and poorly developed area in the health sector today. As a result, although most organizations claim that their employees are their most important resource, there is widespread neglect of the policies, systems, and management and leadership practices needed to support the critical HRM function.

There is a need to professionalize HRM throughout the health sector by hiring dedicated human resource (HR) staff and developing their ability to manage complex HR issues. HRM systems need to be strengthened in most organizations. In ministries of health and national nongovernmental organizations (NGOs), this should take the form of creating dedicated HRM departments charged with developing, operating, and promoting the policies, systems, and management and leadership practices that address identified HRM challenges.

However, it is the responsibility of all managers and supervisors at every level of an organization to understand and continually practice the principles of effective HRM. Indeed, in smaller organizations, which often lack a dedicated HRM department, it is the collective effort of all managers that will build a human resources for health (HRH) strategy and the HRM infrastructure needed to carry out the strategy.


Click on the links below to access key materials on:

Assessing and Meeting Staffing Needs

Human Resources Information Systems

Human Resource Management

National Health Workforce Issues
Assessing and Meeting Staffing Needs

Resources:

- Increasing access to health workers in remote and rural areas through improved retention

These global policy recommendations are especially to develop a strategy to improve retention in rural areas. Half the world’s people currently live in rural and remote areas. The problem is that most health workers live and work in cities. This imbalance is common to almost all countries and poses a major challenge to the nationwide provision of health services. Its impact, however, is most severe in low income countries. There are two reasons for this. One is that many of these countries already suffer from acute shortages of health workers - in all areas. The other is that the proportion of the population living in rural regions tends to be greater in poorer countries than in rich ones.

The World Health Organization (WHO) has therefore drawn up a comprehensive set of strategies to help countries encourage health workers to live and work in remote and rural areas. These include refining the ways students are selected and educated, as well as creating better working and living conditions.

Guidelines: Incentives for Health Professionals

These guidelines provide guidance on financial and non-financial incentives to ensuring effective recruitment, retention and performance of health workers. They describe different approaches taken by a number of countries. Examples of financial incentives include tax waivers, allowances (e.g. housing, clothing, child care, remote location weighting etc.), insurance, and performance payments. Examples of non-financial incentives include ensuring positive work environments, flexibility in employment arrangements and support for career development.

12 Steps for Creating a Culture of Retention, A Workbook
This workbook is intended for use by long-term care agencies to improve recruitment, selection, and retention practices. It includes information such as:
1. Prepare agency for effective recruitment and selection of new employees
2. Conduct a staffing needs assessment
3. Design and implement effective recruitment strategies
4. Design and implement a successful selection process
5. Build a strong management system to support retention
6. Orient and support employees in their first few weeks on the job
7. Provide employee supports to address life challenges
8. Establish a peer mentor program
9. Ensure constructive and effective coaching supervision
10. Offer training, on-the-job learning, career development and advancement
11. Establish an infrastructure that fosters worker participation
12. Create a worker-management leadership team to provide oversight and inspiration to the plan and ensure ongoing evaluation and improvement

• **An Overview of Human Resources for Health (HRH) Projection Models**

This technical brief describes the essential elements for workforce projection. Good workforce projection models: (a) are based on clearly-identified HR goals; (b) focus on specific, quantifiable problems; (c) use data of acceptable quality; (e) are regularly updated based on progressively reliable data and new developments in population trends and patterns of health services utilization; (f) make projections far enough in advance to allow for time to take action.

• **Capacity Building Compendium: A Collection of Capacity Building Tools and Resources**

Includes useful examples of: Capacity Mapping Assessment Tool; Skills Audit and Job Analysis Form; Organizational Development Profile; Learning Agreements; and Workplace Journaling.

• **Employee Satisfaction Survey**

This survey is intended to provide insight into the areas that staff are most dissatisfied with in their work environment. The questionnaire was developed to establish a baseline data on
employee satisfaction. Employee satisfaction is the result of a combination of extrinsic rewards, such as remuneration and benefits, and intrinsic rewards, such as respect and appreciation. Positive changes in the HRM systems and the way in which managers and supervisors interact with staff on personnel issues can increase the level of employee satisfaction. While a high level of employee satisfaction cannot be absolutely tied to higher levels of retention, motivation and performance, a low level of employee satisfaction is a definite source of low levels of performance.

• **An Approach to Estimating Human Resource Requirements to Achieve the Millennium Development Goals**

This document outlines how to estimate HR requirements to achieve MDGs. Activities include:
(1) Identify the needs for services
(2) Identify the interventions required to deliver these services
(3) Identify the tasks and skills required to deliver those specific interventions
(4) Estimate the time requirements for each of the interventions
(5) Identify possible overlaps and synergies
(6) Estimate adjusted full-time equivalents

• **Workload indicators of staffing need (WISN): A manual for implementation**

This Manual sets out all the activities which are necessary in order to design and implement the WISN Method in a country. The material in this Manual is based on the experience and results of implementing the WISN Method in Papua New Guinea (supported by the Asian Development Bank), in the United Republic of Tanzania (supported by DANIDA through WHO), in Kenya (supported by USAID); in Sri Lanka (supported by the World Bank); and also in six other countries: Bahrain, Egypt, Hong Kong, Oman, Sudan and Turkey which participated in a field trial of an early draft of this Manual (supported by WHO headquarters and the WHO Regional Office for the Eastern Mediterranean).

• **Workload Indicators of Staffing Need (WISN): A manual for implementation**
Manual on staffing workload principles, applications for policy and management, steps in design and implementation, and methods for setting activity times or standards for health staff. Draws on actual and transferable components of workload for a variety of specific staff positions in 5 African and Asian countries, as well as their activity standards (unit times and rates), which are country-specific, based on a country’s medical practices.

- Analysis of Labour Turnover Tool

This simple yet useful tool facilitates analysis of labour turnover.

Human Resources Information Systems

Resources:

- Institutional Capacity Assessment Framework

This framework combines several capacity building frameworks for NGOs and PVOs including: ISR, OCAT, DOSA, TTAP, ISA, IDF, OCI, and Fisher (see document attached). The framework clusters assessment categories by Institutional Resources (legal structures and governance, human resources, management systems and practices, financial resources), Institutional Performance (program results, networking and external relations, application of technical knowledge, and constituency empowerment) and Institutional Sustainability (Organizational autonomy, leadership, and organizational learning). These categories comprise the systemic assets of an organization.

- HRIS Strengthening Implementation Toolkit

This Toolkit provides a package of HRIS procedures and tools to HRH stakeholders, HR information system managers, and software developers to facilitate applying the HRIS strengthening processes and iHRIS software offered by CapacityPlus. The Toolkit collects briefs, forms, case studies, resources and other materials to assist with all five steps of the HRIS strengthening process.

- The Impact of Human Resources Information Systems
(HRIS) Strengthening

This brief provides an overview of results from a qualitative evaluation study of the Capacity Project’s HRIS strengthening in Swaziland, Uganda and Rwanda (De Vries et al., 2009). In addition, it draws on results from a regional workshop on data-driven decision-making in Tanzania hosted by the Capacity Project in collaboration with ECSA-HC and WHO. Overall, the Project conducted HRIS strengthening activities in nine sub-Saharan African countries: Uganda, Rwanda, Swaziland, Lesotho, Namibia, Kenya, Tanzania/ Zanzibar, Southern Sudan and Botswana.

Data Quality Considerations in Human Resources Information Systems (HRIS) Strengthening

This technical brief describes basic quality concepts (accuracy, timeliness, consistency, completeness, precision and relevance) and best practices in HRIS strengthening.

Information Management-Information Technology (IM/IT) Canada Toolkits

These online toolkits provide nonprofit organizations with different tools to encourage their "strategic use of technology to achieve the mission" of their organizations. The tools presented can help organizations determine how to make requests for technology funding; how to assess needs; how to plan upgrades and to determine cost-effectiveness. The tools are downloadable in various formats.

iHRIS Software

CapacityPlus develops the iHRIS Suite, Open Source HRIS software that supplies health sector leaders and managers with the information they need to assess HR problems, plan effective interventions, and evaluate those interventions. CapacityPlus doesn't provide just software but offers a program of technical assistance and expertise to ensure that the technology is transferred effectively and serves the ability of decision-makers to use data to lead and manage. Our participatory approach results in systems that are appropriate for the context in which they are used and sustainable after we leave.
Human Resource Management

Resources:

- Institutional Strengthening: Building Strong Management Practices

The Guide presents principles, minimum standards and best practices, business processes, references and tools deemed important for effective, efficient, and sustainable organizations. The Guide consists of ten chapters that cover the key functional areas of most organizations. Each chapter (and indeed each step and process within each chapter) can be used as a stand-alone document. With the exception of Chapter 3, Health and Human Services Regulations, the chapters in the Guide are can be used by many different types of organizations, in many sectors (such as agriculture, health, peacebuilding, water supply, nutrition, education, or environment.) CRS offers the Guide as an adaptable tool which may be used to develop new, or strengthen existing, policies, processes and practices.

- Managing Human Resources

Chapter five of *Health Systems in Action: An eHandbook for Leaders and Managers* shows that effective human resource management (HRM) is important in any public- or private-sector organization and essential when public health crises collide with workforce shortages. We present here the three pillars that together form the HRM capacity of an organization?policies, systems, and management and leadership practices?and describe how they can help you to attain your organization?s HRM goals. We then review how you, as a manager of a health program or health services, can be more effective in five areas of critical importance to your staff by:

- setting job responsibilities and work priorities;
- encouraging good performance with feedback;
- making work meaningful;
- improving fairness in the workplace;
- offering staff opportunities to grow.

To enable your organization to evaluate its HRM capacity, we introduce the Employee Satisfaction Survey and the HRM Rapid Assessment Tool for Health Organizations and show how they can be applied. Finally, we describe how you can link good management practices and HRM systems to propel positive changes in your organization.

- Human Resource Management (HRM) Rapid Assessment Tool for Health Organizations
The Human Resource Management (HRM) Rapid Assessment Tool offers a method for assessing an organization’s Human Resource Management system and how well it functions. The HRM Rapid Assessment Tool helps users to develop strategies to improve the human resource management system and make it as effective as possible. It can also serve as a basis for focusing discussions, brainstorming, and strategic planning. It is designed to be used in public and private-sector health organizations.

•

An experience of virtual leadership development for human resource managers

Strong leadership and management skills are crucial to finding solutions to the human resource crisis in health. Health professionals and human resource (HR) managers worldwide who are in charge of addressing HR challenges in health systems often lack formal education in leadership and management. Management Sciences for Health (MSH) developed the Virtual Leadership Development Program (VLDP) with support from the United States Agency for International Development (USAID). The VLDP is a Web-based leadership development programme that combines face-to-face and distance-learning methodologies to strengthen the capacity of teams to identify and address health challenges and produce results.

The USAID-funded Leadership, Management and Sustainability (LMS) Program, implemented by MSH, and the USAID-funded Capacity Project, implemented by IntraHealth, adapted the VLDP for HR managers to help them identify and address HR challenges that ministries of health, other public-sector organizations and nongovernmental organizations are facing. The VLDP is an effective programme for developing the management and leadership capacity of HR managers in health.

•

Strengthening Human Resource Management to Improve Health Outcomes
Human resource management (HRM) is essential in any organization, critically so when public health crises and workforce shortages collide, as they now do in many parts of the developing world. This issue of The eManager provides an overview of HRM systems, policies, and procedures; the components within these areas; and the Human Resources for Health Action Framework. Guidance which managers may apply to improve human resource policies, practices and systems, employee satisfaction and motivation is provided. The issue includes diagnostic tools to evaluate the current state of an organization’s HRM; country examples from Egypt, Kenya, Mozambique and Uganda; and Internet links to resources for all topics covered.

- **Building the Bridge from Human Resources Data to Effective Decisions**

  This technical brief outlines ten fundamental and practical pillars of successful data-driven decision making to aid HR managers, practitioners, and policy analysts in building a bridge from HR data and reports to effective HR policy and management decisions.

- **Human Resources for Health: Tackling the Human Resource Management Piece of the Puzzle**

  This technical brief describes in some detail the HRM problems that contribute to the health worker crisis, as these have often been underplayed—or not addressed at all. The brief also identifies specific strategic actions that ought to be taken to address these HRM challenges, and concludes with some examples of broad futuristic thinking and innovations to stimulate donor and programmatic funding opportunities for strengthening HRH.

- **Strengthening Management Capacity**

  Documents in French: WHO framework that outlines an approach to estimating human resource requirements to achieve the Millennium Development Goals.

- **Developing and Managing Human Resources for Health**

  Human resources are essential to planning, managing, and delivering life-saving health
services; research has shown that more mothers and babies die when there is an acute shortage of health staff. Many of the causes of such shortages are chronic problems, familiar to health managers and providers everywhere: migration of health personnel, poor distribution of staff, and lack of resources to recruit, train, and support health workers. These problems are being intensified in many countries by the prevalence of HIV/AIDS among the workforce and the extra demands the disease and its treatment impose on already overburdened health systems. These changing demands require changes in thinking about how to help governments and organizations sustain an adequate supply of qualified, motivated health staff. This resource provides you with tools, guidelines, and readings that will help you develop and manage human resources.

- **HRM Resource Kit**

  The following is a collection of resources and links assembled especially for the Global Health 2005 conference.

- **Human Resource Management (HRM) Rapid Assessment Tool for HIV/AIDS Environments**

  The Human Resource Management (HRM) Assessment Instrument is a structured, participatory self-evaluation tool designed to be used by non-governmental organizations and public sector health institutions to assess the status of HRM in their organizations and to facilitate the development of improvement strategies. The instrument is organized according to the core functions of a HRM system: HRM Capacity, HRM Planning, Personnel Policy and Practice, HRM Data, and Performance Management and Training. These functions are described in a matrix with four stages of development and indicators for each stage. The instrument should be used in conjunction with a review of documents at the organization including personnel files, job descriptions, financial/payroll records, and relevant labor law.

- **Nursing and Midwifery Workforce Management**

  The purpose of these guidelines is to assist countries in strengthening the management of nurses and midwives and thus service delivery. Key topics covered include policy and planning, education, training and development, deployment and utilization, regulation, and evidence base for decisions.
Facilitative Supervision Handbook

Describes a system of management in which supervisors at all levels of a health institution focus on the needs of the staff they oversee. This approach emphasizes mentoring, joint problem solving, and two-way communication between the supervisor and those being supervised. Includes self-instructional exercises. To be used with COPE, through which this approach can be implemented.

- Developing a Salary Policy

This tool provides a common methodology for organizations to develop an equitable salary policy. It includes 1) the objectives of a salary policy, and 2) the key components for developing a sound salary policy. Examples of key components include up-to-date job descriptions, a job classification or banding structure, periodic market research on salaries, and a compensation committee that determine salaries for each job band or category in the organization.

- The Health Manager's Toolkit: Human Resources Management

The Manager’s Toolkit includes a variety of tools and instruments to help managers tackle the challenges associated with human resources for health and human resources management. The tools include instruments to link individual performance to organizational objectives, such as performance management and supervision tools, training tools designed to enhance employee capacity, and guides to establish salary polices. In addition, there are human resources management tools adapted for use in the context of HIV/AIDS, as well as in different sectors of the health system.

National Health Workforce Issues

Resources:

- Scaling Up the Stock of Health Workers, A Review
This paper synthesises some of the published and grey literature on the process of scaling up the health workforce, also known as human resources for health (HRH), with a particular focus on increasing the number of trained providers of health services. It concentrates on low- and middle-income countries, although some literature on richer countries is included.

• **Conceptual and Practical Foundations of Gender and Human Resources for Health**

This paper presents what the Capacity Project learned about various forms of gender discrimination and how they serve as barriers to health workforce participation, against the backdrop of the global gender and HRH literature. It points to the central roles played by pregnancy discrimination in weakening women’s ties to the health workforce, and occupational segregation in limiting men’s role in the development of a robust informal HIV/AIDS caregiving workforce. The paper also offers global recommendations for future action through health workforce policy, planning, development and support.

• **Pillars of Health Facility Assessment: International Health Facility Assessment Network**

The International Health Facility Assessment Network (IHFAN) seeks to strengthen health facility-based data collection and use, reduce duplication, and promote strategic liaisons around these activities. This resource is a curriculum for the "Pillars of Health Facility Assessment" workshop; the workshop’s main goal is to build the capacity of countries to implement a health facility assessment (HFA). The curriculum is designed to reinforce the importance of health facility data collection as an essential component of health information systems.

• **Guiding Principles for National Health Workforce Strategies**

These guidelines are intended for policymakers and individuals involved in developing and evaluating health workforce plans. The guide outlines what country-led and developed plans should contain and how best to develop them. The guidelines should serve as overarching principles that will promote the success of health workforce plans, while ensuring that they are consistent with human rights.
Human Resources for Health (HRH) Strategic Planning

The consensus from recent debates about how to approach the current human resources (HR) challenges in the health sector is that it is important to have a national strategic HR plan. Perhaps this sounds obvious. However, a number of countries have no plans at all, some have plans that are not strategic and others have excellent plans that were developed but never used. So most have at least some work to do to improve their strategic HR planning processes. Each country faces different HR challenges, and these will change from year to year. All strategic plans are likely to be different and evolving, and there is no single blueprint for their development. This technical brief provides some guidance on HRH strategic planning, illustrated with examples.

Human Resources for Health Programs for Countries in Conflict and Post-Conflict Situations

The challenges inherent in planning, developing and supporting a sustainable health care workforce are all the more difficult in countries where conflict or the aftermath of conflict can impede the implementation of short- and long-term approaches to building human resources for health (HRH). Based on field experiences implementing programs in such situations and supplemented by a carefully targeted literature review, this resource paper explores operational challenges, opportunities and goals common to initiating HRH programs in conflict and post-conflict situations.

Workforce Planning for the Health Sector

One of the current recommendations for tackling the health sector staffing crisis faced by many countries is that they should have comprehensive and coherent human resources for health (HRH) strategic plans. Such plans normally include strategies for strengthening performance of staff, improving staff retention and adapting to any major structural changes that may be occurring (for example, decentralization). A key component of the wider HRH strategic plan is a workforce plan. This plan enables senior managers to scan and analyze human resources (HR) data routinely, determine relevant policy questions and institute policies to ensure that adequate numbers of staff with appropriate skills are available where and when they are needed. This technical brief outlines the essential steps in workforce planning.

District Health Management Tools
The "District Health Management Tools" manual is intended to be used as a training guide and source of information and reference for trainers, facilitators or presenters who will have some experience with District Health Management.

- **Health Centre Supervision Checklist**

  The Health Centre Supervision Checklist is job aid for district level supervisors. It is a comprehensive checklist which is split into two main parts: Core Health Facility Activities and Specialized Health Centre Activities. The checklist is comprised of 91 questions, some with multiple elements." The supervision checklist was designed to serve as a job aid for supervisors to measure performance while conducting comprehensive supervision visits at public sector health centers.

- **Handbook: "Managing a Dispensary" and workshops for nurses and community committees**

  Purpose: to improve the quality of health care at the dispensary level, build capacity of the community committees of with a strong role in managing the dispensaries, and change the role of the dispensary nurse to include management.

**Performance Assessment and Improvement**

**Resources:**

- **The Performance-Based Financing Handbook**

PERFORMANCE-BASED FINANCING (PBF) is a powerful means of increasing the quality and quantity of health services by providing incentives to suppliers to improve performance and achieve results. In support of the Millennium Development Goals, PEPFAR, the Global Health Initiative (GHI), and other important health initiatives, PBF can increase the use and quality of health services, stabilize or decrease the costs of these services, help use limited resources effectively, and improve staff motivation and morale, a proven incentive for staff retention.
Improving Health Outcomes Through Performance Based Financing

This is a 39-page PowerPoint presentation that explains what performance based financing is, how it should be used, and includes country examples of Haiti and Rwanda where USAID is supporting its use, along with benchmarks and relevant results.

• Learning for Performance: A Guide and Toolkit for Health Worker Training and Education Programs

This manual provides an overview of learning for performance, performance improvement, instructional design, learning for performance, and maximizing the success of learning interventions. It is intended to provide support to individuals or teams who are strengthening education or training programs as a component of performance improvement or HR. The Learning for Performance section includes tools and resources for:

- Learning goals
- The learners and their work setting
- Resources and requirements
- Job responsibilities and major job tasks
- Essential skills and knowledge
- Learning objectives
- Learning assessment methods
- Learning activities, materials, approaches and instructional strategy
- Materials development
- Preparation for implementation
- Implementation
- Assessment

• CGD Working Paper April 2007---Performance-Based Incentives for Health: Six Years of Results from Supply-Side Programs in Haiti

The paper details USAID's launch of a project in 1995 to deliver basic health services in Haiti. The project began by reimbursing contracted NGOs for documented expenditures or inputs. In 1999, payment was changed to being based partly on attaining performance targets or outputs. The project also provided technical assistance to the NGOs, along with opportunities to participate in an NGO network and other cross-fertilization activities. Remarkable
improvements in key health indicators have been achieved in the six years since payment for performance was phased in. Although it is difficult to isolate the effects of performance-based payment on these improved indicators from the efforts aimed at strengthening NGOs and other factors, panel regression results suggest that the new payment incentives were responsible for considerable improvements in both immunization coverage and attended deliveries. Results for prenatal and postnatal care were less significant, perhaps suggesting a strong patient behavioral element that is not under the influence of provider actions.

- Conducting a Training Needs Assessment

Conducting a needs assessment is not an option, it is necessary of one wants some assurance of providing an effective course, seminar, workshop, or training. The extent of the needs assessment will depend on the length, quality and complexity of a required program. The better and more thorough the needs assessment the more likelihood of attaining desired results. However, needs assessments can become an end in themselves and consume time better devoted to producing concrete programs. It is important to find the middle road, designing and conducting a needs assessment process which will meet your need for specific information, but not alienate your target groups and sideline your staff because they are too involved and time-consuming. This document takes you through the steps of conducting an effective needs assessment.

- Validating a work group climate assessment tool for improving the performance of public health organizations

**Background:** This article describes the validation of an instrument to measure work group climate in public health organizations in developing countries. The instrument, the Work Group Climate Assessment Tool (WCA), was applied in Brazil, Mozambique, and Guinea to assess the intermediate outcomes of a program to develop leadership for performance improvement. Data were collected from 305 individuals in 42 work groups, who completed a self-administered questionnaire.

**Methods:** The WCA was initially validated using Cronbach's alpha reliability coefficient and exploratory factor analysis. This article presents the results of a second validation study to refine the initial analyses to account for nested data, to provide item-level psychometrics, and to establish construct validity. Analyses included eigenvalue decomposition analysis, confirmatory factor analysis, and validity and reliability analyses.

**Results:** This study confirmed the validity and reliability of the WCA across work groups with different demographic characteristics (gender, education, management level, and geographical location). The study showed that there is agreement between the theoretical construct of work climate and the items in the WCA tool across different populations. The WCA captures a single perception of climate rather than individual sub-scales of clarity, support, and challenge.

**Conclusion:**
The WCA is useful for comparing the climates of different work groups, tracking the changes in climate in a single work group over time, or examining differences among individuals’ perceptions of their work group climate. Application of the WCA before and after a leadership development process can help work groups hold a discussion about current climate and select a target for improvement. The WCA provides work groups with a tool to take ownership of their own group climate through a process that is simple and objective and that protects individual confidentiality.

**Prime Performance Improvement**

This document outlines the 6 factors that ensure good performance: clear job descriptions and expectations; immediate performance feedback; adequate physical environment and tools; motivation and incentives; adequate knowledge and skills; support from the organization. The document also provides a few country examples where PI was implemented.

**Organizational Capacity Assessment Tool (OCAT): A Handbook on Participatory Monitoring and Evaluation**

The seven characteristics in table 4.1 matrix represent clusters in the OCAT framework within which there are the following subheadings: Governance (Board, Mission/Goal, Constituency, Leadership, Legal Status); Management Practices (Organizational Structure, Information Systems, Administrative Procedures, Personnel, Planning, Program Development, Program Reporting); Human Resources (Human Resources Development, Staff Roles, Work Organization, Diversity Issues, Supervisory Practices, Salary and Benefits); Financial Resources (Accounting, Budgeting, Financial/Inventory controls, Financial Reporting); Service Delivery (Sectoral Expertise, Constituency Ownership, Impact Assessment), External Relations (Constituency Relations, Inter-NGO Collaboration, Government Collaboration, Donor Collaboration, Public Relations, Local Resources, Media); Sustainability (Program/Benefit Sustainability, Organizational Sustainability, Financial Sustainability, Resource Base Sustainability). OCAT categorizes NGOs into four distinct stages of development according to their competence in the seven OCAT components of organizational effectiveness. OCAT defines these stages as nascent, emerging, expanding, and mature. An NGO is not necessarily at the same stage of development on all the components.

**Performance Management Tool**
This tool provides organizations with a means of managing staff performance by identifying critical performance objectives for all employees which are linked to the priority goals of the organization and reviewed on a specific time frame. The Performance Management Tool consists of three complimentary parts: A Work Planning and Performance Review System, a guide for Developing Performance Objectives and a guide for Developing Job Descriptions.

• Organizational Capacity Self-Assessment Tool --- Guidelines for Developing an Organizational Training Plan

Initially drafted for the Croatia’s Non-Governmental Sector, this offline questionnaire will be useful to all non-governmental organizations (NGOs) that wish to self-assess their capacity in the following areas: human resources, governance, constituence, monitoring & evaluation processes, and planning. Open-ended questions are presented for each area, intended to be discussed in groups with the help of a facilitator. This tool should enable organizations to identify areas requiring further development and training and to facilitate the development and implementation of training plans.

Supervision

Resources:

• The eManager, No. 1: Coaching for Professional Development and Organizational Results

This issue of The eManager will help you examine your managerial practices and give you the tools to expand your role from manager to manager as coach. Using the OALFA (Observe, Ask, Listen, give Feedback, and reach an Agreement) self-assessment, you can evaluate your coaching skills and make a plan to refine and apply them.

• Facilitative Supervision for Quality Improvement: A Curriculum

Facilitative Supervision for Quality Improvement focuses on the fundamentals of quality health care services in presenting an approach to supervision that emphasizes mentoring,
joint problem solving, and two-way communication.

The curriculum is meant to be used by trainers who introduce the facilitative approach to supervision to supervisors from different levels of the health system: on-site and off-site supervisors, including medical and nonmedical supervisors.

**Clinic Supervisor's Manual**

The purpose of this manual is to provide a set of flexible, adaptable tools, and guidelines to support supervisors in their role of improving the quality of care in the clinics. It is especially helpful for focusing managers on the key elements of integrated primary health care as they simultaneously integrate new interventions for HIV/AIDS, tuberculosis, and malaria. The Clinic Supervisor's Manual contains 12 sections. Section 1 explains how to use the manual. Section 2 helps the clinic supervisors organize their supervisory visit. The remainder of the sections focus on a number of key areas during a clinic supervision visit. These areas include:

- Clinic administration
- Information systems
- Referral systems
- Use of standard treatment guidelines
- Community participation
- National norms and standards for eight health areas
- In-depth health program review
- Clinical tips for training
- Problem solving

For each of these sections, there is also an introductory explanation followed by guidelines, checklists, and other supervisory tools that are being recommended. This format allows presentation of a large number of specific and useful tools that supervisors can adapt and use during a supervisory visit. There are also two supporting materials included here.

**Supervision Guidelines**

The purpose of this supervision manual is to provide guidelines for all staff on how to engage in supervision. It will address the concept of supportive supervision, outline the primary characteristics of an effective supervision system, and explore the role of the supervisor within the system.
It's Your Career: Take Charge Career Planning and Development

It's Your Career: Take Charge, is directed towards individual nurses to help them take charge and be in control of their careers within the ever-changing world of health care. This is a training package that provides nurses with:
  ◦ An overview of what career planning and development is and why it is important.
  ◦ A five-phase career planning and development model and activities to guide career development.
  ◦ A trainer guide for those who want to conduct an It's Your Career: Take Charge workshop and offer career coaching.
These guidelines highlight the key dimensions of career planning and development and offer guidance to those who wish to evaluate the present and shape their future.

Supervisor Competency Self-Assessment Inventory

The Supervisor Competency Self-Assessment Inventory is a self-evaluation tool designed to be used by supervisors to assess their competency and experience in a number of supervisory functions and to develop plans for improvement. The tool is organized according to the major functions that supervisors perform (Gaining Acceptance, Work Planning, Motivation, Performance Review, Counseling, Conflict Resolution, Time Management). These functions are described in a matrix with a 1-4 scale indicative of levels of competence, performance and experience. There is no scoring involved.

Supporting Staff Through Effective Supervision

This document provides guidance on clinical supervision. It is intended for district management teams; clinic supervisors and program managers. The document outlines how to assess, plan and implement more effective clinic supervision. It discusses the role of the clinic supervisor, qualities of an effective supervisor, and effective use of clinic visits. It also includes a template for ?Clinical Skills In-Service Training Records."

Financial Management

Health care financing refers to adequate funds for health that are collected and allocated to
Increasing global awareness of the serious health problems faced by developing countries has resulted in a widespread desire to address these issues. This requires strengthening the ability of governments and civil society organizations (CSOs)?faith-based, community-based, and nongovernmental organizations (NGOs)?to manage health projects and service delivery programs effectively and efficiently. To fulfill their growing responsibilities, both public- and private-sector entities must manage funds with the utmost care and integrity. They share similar needs for efficiency, effectiveness, and transparent use of financial and other resources.

Shifts in donor priorities or the economic climate might reduce the amount of funding available to support health programs. Economic factors might raise the costs of required goods, labor, and services. To cope with these scenarios, public health managers at all levels must understand and implement sound accounting and financial management principles to safeguard their scarce resources and respond to changing economic conditions. In addition to efficient and effective operations, financial management, and accounting systems, organizations must have strong internal control mechanisms to guard against misappropriation or fraud. Well-documented policies and procedures will both support the workforce and demonstrate fiduciary responsibility and stewardship to funders. Organizations that demonstrate these high standards have the best chance of securing and maintaining donor funds and protecting their own working capital.


The financial tools available in this section of the toolkit can help governments, donors, and program managers assess the costs of health services and programs and plan and budget for future program needs.

Resources:

- Institutional Strengthening: Building Strong Management Practices
The Guide presents principles, minimum standards and best practices, business processes, references and tools deemed important for effective, efficient, and sustainable organizations. The Guide consists of ten chapters that cover the key functional areas of most organizations. Each chapter (and indeed each step and process within each chapter) can be used as a stand-alone document. With the exception of Chapter 3, Health and Human Services Regulations, the chapters in the Guide are can be used by many different types of organizations, in many sectors (such as agriculture, health, peacebuilding, water supply, nutrition, education, or environment.) CRS offers the Guide as an adaptable tool which may be used to develop new, or strengthen existing, policies, processes and practices.

• **Managing Finances and Related Systems**

Chapter Six of *Health Systems in Action: An eHandbook for Leaders and Managers* examines aspects of financial management and related office operations systems. Financial management is concerned with accounting and budgeting, along with reporting and analysis, that allow managers, donors, and overseeing bodies not only to know about revenue obtained or generated, assets owned, and expenses incurred but also to compare that information to previous years or desired results.

• **Financial Management Assessment Tool (FinMAT)**

FinMAT helps managers assess their organizations’ financial management capacity, identify areas for improvement, make specific action plans to address shortcomings, and monitor for improvement. The heart of FinMAT is an instrument for collecting and summarizing technical information about an organization’s financial management systems and practices. The guide provides all the materials and instructions needed to use the tool to collect data, develop a consensus on needed improvements, and integrate recommendations for improvement into an organization’s work plans. The tool is provided in an interactive form in a Microsoft Excel file as well as in print form in the guide. Both the guide and the Excel version of the tool can be downloaded from below at no cost. FinMAT is designed for organizations that manage their own finances and can be used in NGOs or private-sector institutions, such as hospitals; ministries or other public-sector institutions; central offices or headquarters; and decentralized organizational units at regional, provincial, and district levels.

• **Ch. 6 of Health Systems in Action: 'Managing Finances and Related Systems'**

Chapter 6 of Health Systems in Action examines aspects of financial management and
related office operations systems. Financial management is concerned with accounting and budgeting, along with reporting and analysis, that allow managers, donors, and overseeing bodies not only to know about revenue obtained or generated, assets owned, and expenses incurred but also to compare that information to previous years or desired results.

- Management Organizational Sustainability Tool (MOST)

The Management and Organizational Sustainability Tool (MOST) is a structured, participatory process that allows organizations to assess their own management performance, develop a concrete action plan for improvement and carry out their plan. The tool is used to assist organizations to map the development of key management components and use these results for planning improvements and monitoring progress. The cornerstone of the MOST process is a 3-day workshop. During the workshop, the organizational leadership and selected staff come together to build consensus about the stages of development of their organization’s management practices, the improvements needed, and an action plan for making those improvements. Needs a good organizational mix of participants (senior staff, board members, clinic staff, etc.) and also outside facilitators.

- The Financial Management Assessment Tool

To assist organizations to evaluate their financial management capacity in key areas. Organizations may apply the tool in preparation for an internal or external audit, in preparation for receiving new donor funds, or as part of a capacity building process.

- Organizational Capacity Assessment (OCA)

This tool guides participants through an organizational capacity assessment process and helps them become familiar with standards for organizational capacity. The tool is a framework and includes components for governance, administration, human resource management, financial management, organizational management, program management, and project performance management. The assessment instrument is accompanied by a facilitator’s guide. A number of information sheets and worksheets are included to guide every stage of the process.

- Improving Health Outcomes Through Performance Based Financing
This is a 39-page PowerPoint presentation that explains what performance based financing is, how it should be used, and includes country examples of Haiti and Rwanda where USAID is supporting its use, along with benchmarks and relevant results.

- **Planning, Costing and Budgeting (PCB) Framework**

The Planning, Costing and Budgeting (PCB) Framework is an Excel spreadsheet workbook designed to allow users to clearly identify the linkages between all elements of a plan—the activities, strategies, objectives and goals, and the budget that would be required to achieve these goals and objectives. The workbook consists of an example plan and a blank template plan. The framework is also accompanied by a User's Manual which explains the layout of the spreadsheet and provides instructions on how to use it.

The framework is laid out in a logical, step-by-step format which:

- Encourages the user to move from an overall goal down to the activities and resources level.
- Encourages the identification and quantification of critical inputs needed for each activity and the cost for each of these critical inputs.
- Shows the funding commitments for the plan and estimates of the funding gaps.

- **QuickStart**

QuickStart is a tool designed to help non-governmental organizations evaluate their policies, procedures, and internal controls in preparation for a pre-award audit by a donor organization. QuickStart provides guidelines for assessing each of the six key business systems evaluated by donor organizations. These systems are: accounting, procurement, personnel, travel, property management, and information.

- **Fraud Prevention Handbook**

This handbook was designed to provide CSOs with information regarding the detection of fraud as well as controls and processes to limit the occurrence of fraud. This handbook defines fraud and discusses what makes an organization vulnerable, consequences of fraud, fraud indicators, use of financial controls to prevent fraud, use of non-financial controls to prevent fraud, and detective controls. Additionally, this handbook discussed the role of managers in fraud control, board of directors, audit committees, and law enforcement agents.

- **AIDS Councils as Catalysts for Unlocking Citizen Power**
Guidelines to mobilize civil society and build multisectoral partnerships to tackle HIV/AIDS. This manual, published by Institute for Democracy in South Africa (IDASA), aims to provide information for non-governmental organizations (NGOs) to develop and mobilize civil society's engagement with AIDS councils and build effective governance of the HIV/AIDS pandemic. The guide contains a step by step approach to organizing a one and a half day workshop. This workshop enables participants to understand the role of AIDS councils in building multi-sectoral partnerships to tackling HIV/AIDS, identify potential collaborative partners and promote community ownership of HIV and AIDS issues. Operational details include information on the optimal number of participants and venue selection through to trainer's notes and workshop outcomes. There is a detailed programme with sessions such as facts about AIDS councils and tapping into diversity. Also included are thorough instructions for each session outlining the aims, learning outcomes and materials needed. There are handouts of the workshops timetable and several background documents on the composition, structure and functions of AIDS councils, as well as roles of AIDS council members and other stakeholders. The manual also stresses the importance of taking local context into consideration when the workshops are given. The authors aim is for this manual not only to be used by civil society but also by the AIDS councils themselves.

*Country Coordinating Mechanism Performance Checklist*

The Global Fund Country Coordinating Mechanism (CCM) Performance Checklist is used to determine the functionality of the CCM of the Global Fund by evaluating it through a document-verified survey that looks at composition and representation, participation and communication, and governance and management.

*Financial Management Health Check: How healthy is the financial management in your NGO?*

The Health Check involves answering a simple set of questions. They cover all the key areas of NGO financial management. By the end of the Health Check you will be able to tell if the financial management in your NGO is healthy or sick - and whether you need to call a doctor. A self-assessment tool to help NGOs evaluate the quality of their financial management.

*District Health Management Tools*
The "District Health Management Tools" manual is intended to be used as a training guide and source of information and reference for trainers, facilitators or presenters who will have some experience with District Health Management.

- **Strategies for an Expanded Comprehensive Response (ECR) to a National HIV/AIDS Epidemic: Engaging the Business Sector**

  Leading international HIV/AIDS organizations have long acknowledged and encouraged greater private sector involvement in the collective response to HIV/AIDS. This module will assist governments (especially at the district level), NGO managers and business people to effectively participate in an ECR to HIV/AIDS. The module provides a broad overview of the private sector, its potential role(s) in an ECR to HIV/AIDS and some general approaches to engage private institutions. While partnering with the business sector offers numerous benefits, many issues arise due to differences in philosophies, missions, approaches and resources between businesses, NGOs and public sector institutions. This module provides information to assist personnel from all sectors in understanding and effectively managing these differences.


  Many developing countries have recognized the need for comprehensive national reforms and comprehensive prevention, treatment, and care and support initiatives to reduce future transmission of and to meet the growing demand for HIV/AIDS services. As a part of these national health reform initiatives, governments are exploring ways to allocate resources in the most efficient and effective way to mitigate the HIV/AIDS epidemic. However, many countries lack information on the level and nature of the costs of HIV/AIDS programs. This document provides an introduction to the procedure for calculating and analyzing the costs of HIV/AIDS programs and describes how to measure directly the actual costs of a program that is up and running. The step-by-step guide is intended to provide project managers in the field with a framework for how to do measure costs for a single, recent year in the life of an HIV/AIDS program. An illustrative activities list in the report annex will assist the user to develop an activities-based framework. The information gleaned from the costing framework will enable policymakers and program managers to make informed resource allocation decisions.

- **Strategies for an Expanded and Comprehensive**
Response (ECR) to a National HIV/AIDS Epidemic

Strategies for an Expanded and Comprehensive Response (ECR) to a National HIV/AIDS Epidemic is a handbook for designing and implementing HIV/AIDS programs - For stakeholders and program managers working to develop and implement ECR.

- **Guide to Leveraging: How to Mobilize and Diversify Resources for Reproductive Health**

  The Guide can be applied to range of different resources including cash grants, in-kind donations, and technical advice. Working systematically through the Guide leads the user to the development of a leveraging strategy tailored to the organization. The Guide provides exercises designed to help the user map out the broad financing options available to their organization, and to collect basic information on these. It then explains how to conduct an organizational analysis through 1) preparing/revising a mission statement, 2) doing an organization diagnosis, and 3) analyzing the existing income base. Next, it outlines a procedure for determining amounts and kind of resources to be leveraged and presents a resource matrix to guide the user on how to make a good match between potential sources of support and organizational needs. The concluding section offers pointers on how to implement the leveraging strategy. This Guide can help organizations tackle the difficult task of securing the financial support needed to ensure their future by going through a process to mobilize additional resources to support the provision of services.

- **Assessing Community Capacity for Change**

  The purpose of the tool is to learn and understand more about community capacity - what it is, how it can be assessed, and how it can be strengthened. The "tool" is an assessment process that engages communities in capacity assessment. First, a core group within a community that is committed to working on community health development decides to undertake a community capacity assessment. This usually happens after the group has established a vision of where it is going, and what it seeks to achieve in the community. Outside helpers (usually public health professionals) agree to provide technical support to the process, which may include help with any or all of the following: planning the meeting(s), logistical preparation and invitations, facilitation, documentation of the meetings, data analysis, report preparation, designing a capacity building program to address learning needs identified through the assessment process. People sit in small groups of eight to ten people and work through a series of questions about their community with the help of facilitators. There are seven domains. It takes approximately forth minutes for most groups to complete their assessment on one of the categories. The domains are shared vision; sense of
community; communication; participation; leadership; resources, knowledge, and skills; and ongoing learning.

- **Mother-Baby Package Costing Spreadsheet**

  This manual and the accompanying spreadsheet have been designed to assist local programme managers in quickly making cost estimates of implementing a set of maternal and newborn health interventions at the district level. The default settings of the model represent a hypothetical rural, low-income district population. Good estimates of the cost are critical to any effort to address maternal and newborn mortality and morbidity.

- **PC3 Organizational and Technical Capacity Assessment Tool (POTCAT)**

  Toolkit to assess organizational capacity to manage grants and implement multisectoral OVC programming. Assessment tools on various areas of institutional development plus manual.

- **Costing Framework to Help HIV/AIDS Program Planning and Management**

  This methodology is designed to compare costs of different HIV/AIDS interventions, various stages of the same intervention, and various sets of activities that offer alternative ways of carrying out a given intervention. This approach uses activity-based costing (ABC) to arrive at a standard activity-cost grid within which ongoing and future HIV/AIDS programs can position themselves. A government supporting a multitude of HIV/AIDS interventions and an implementing agency customarily involved in HIV/AIDS programs alike, can use this grid to relate any one of their programs to the rest of their programs; to see where their turf and key priorities are on the national and global map of HIV/AIDS activities; to identify areas of dense concentration of effort and resources and gaps yet to be filled. The lists of activities and costs can be used to design new and evaluate ongoing programs, and technical and budget proposals. For example, the tool would help to estimate unit costs of social marketing condoms in urban and rural areas under the alternative delivery scenarios.

- **Technical Assistance for Community Services (TACS) - Nonprofit Financial Management Self-Assessment Tool**
The Technical Assistance for Community Services (TACS) - Nonprofit Financial Management Self-Assessment Tool is a short offline survey designed for non profit organizations to evaluate their financial performance. The questionnaire is organized to assess five financial management capacity areas: financial systems; execution; recording; reporting; and monitoring.

**The Health Manager's Toolkit: Financial Management**

The Manager's Toolkit offers an array of financial management tools, including tools to assess the existence and quality of financial management, budgeting, and auditing systems; costing spreadsheets and pricing strategies. These tools help managers at the organizational and clinic levels understand their financial situation and the cost of their services and products and improve cost effectiveness and financial sustainability. The Tools help managers to plan, monitor, record, and control financial resources used to support program and service delivery.

**Economics and Financial Management: What Do District Managers Need to Know?**

This paper describes an initial exploration of the question: ?Could there be a more coherent global approach to management development activities related to health economics and financial management at the district level?? This is an important question because there is much talk of the need for ?management development? ? but in practice, few descriptions of what this actually entails.

The work is in 3 parts. Part 1 develops a list of core topics in the fields of health economics and financial management which district health managers should know about. Part 2 uses this list of topics to analyse related training materials and management tools. Part 3 summarizes the findings of interviews with district health managers in eight countries.

**Logistics and Pharmaceuticals**

Strong health systems ensure that essential medical products, vaccines, and technologies of assured quality, safety, efficacy, and cost-effectiveness are procured, distributed, delivered and used in a cost-effective and scientifically-sound manner.
Most leading causes of death and disability in developing countries can be prevented, treated, or alleviated with cost-effective essential medicines. Despite this fact, hundreds of millions of people do not have access to essential medicines, and for those who do have access, incorrect use of medicines limits their effectiveness.

Even when we invest large amounts of money in medicines, we often do not make the best use of that resource. Poor leadership and management can result in wastage in all its forms—from expired medicines to damaged stock to medicines that are never used—and underlie the failure to make the best use of medicines.


Click on the links below to access:

**Assessment Tools**

**Logistics Management Guidance**

**Logistics Management Software**

**Assessment Tools**

**Resources:**

- **Logistics Indicators Assessment Tool**

  The LIAT is a quantitative data collection instrument, developed by DELIVER, that assesses health commodity logistics system performance and commodity availability at health facilities. The User’s Guide is included and provides detailed instructions on how to use the tool.

- **IMAT: Inventory Management Assessment Tool**
This tool was developed to examine the effectiveness of stock monitoring and record-keeping practices in warehouses and help users identify suggestions for improvement. It is a user-friendly instrument designed to collect and calculate indicators of effective inventory management. The IMAT guides the user through a process of collecting data on the physical and theoretical stock balance and the duration of stockouts for a set of up to 25 frequently-used products, calculating indicators, analyzing the results, and identifying strategies for improving record-keeping and stock management practices. The IMAT comes as a computerized spreadsheet in Excel and includes instructions, a data collection form, analysis guidelines, recommendations, and a graphical display of the indicator results.

**Warehouse Information System Assessment (WISA)**

This tool can be used to assess the appropriateness of computerizing a health facility warehouse. If users are interested in receiving technical assistance to improve and/or computerize the logistics information system, Management Sciences for Health (MSH) will analyze the responses to determine the initial steps in this process. The assessment consists of a multiple-choice, self-evaluation questionnaire that covers basic information about the type and quantity of products managed in the warehouse; the procurement, distribution, and inventory management processes; and information technology. Analysis guidelines help users assess the usefulness and feasibility of computerization and determine their management system’s readiness for computerizing the logistics management information system.

**Rapid Pharmaceutical Management Assessment: An Indicator-Based Approach**

This step-by-step manual describes 46 indicators for function and activity within a pharmaceutical system. It shows how to collect data on the indicators and analyze them. The indicators are divided into 8 different categories as follows: policy, legislation and regulation; formulary/essential drug lists and drug information; Ministry of Health (MOH) pharmaceutical budget and finance; MOH pharmaceutical procurement; MOH pharmaceutical logistics; patient access and drug utilization; product quality assurance; and private sector pharmaceutical activity. The manual includes sample data forms, the formulas for deriving the indicators, and data collected from nine countries.

**Logistics Management Guidance**

**Resources:**

The Logistics Handbook, updated in 2011, offers practical guidance in managing the supply chain, with an emphasis on health commodities. It is intended to help program managers who design, manage, and assess logistics systems for health programs. In addition, policymakers, system stakeholders, and anyone working in logistics will also find it helpful as a system overview and overall approach. Note: Spanish and French translations reflect the 2004 version of the handbook.

Managing Medicines and Health Products

As a manager of a health program or health services at the district or health facility level, you can successfully accomplish this by using the practices described in Chapter 7 of Health Systems in Action: An eHandbook for Leaders and Managers, which focuses on supply management and use of medicines. Effective supply management has the potential to make a powerful contribution to the reliable availability of essential medicines, which are a crucial part of the delivery of high quality health care services. Because medicines are costly and poor management so often results in waste, good supply management is also crucial to the cost-effectiveness of providing medicines. Officials with national-level responsibilities manage the full, integrated system described by the pharmaceutical management cycle. Theirs is a complex task that demands the highest level of leadership, management, and technical skills. But even where good national policies and systems exist, unless those managing the "last mile" of the supply chain—from the district or organization to the health facility to the patient—fully appreciate the impact of their work and are trained to carry out their responsibilities, essential medicines and supplies will fail to reach medical staff and patients.

A Guide for Implementing the Monitoring-Training-Planning (MTP) Approach to Build Skills for Pharmaceutical Management
MTP is an ongoing performance improvement approach to skills building that places training, tools, and responsibility for implementing the pharmaceutical management practices learned in the hands of local staff. The approach includes:

- Using indicators to analyze the current situation and/or measure the magnitude of the problem
- Discussing current practices and the underlying factors for identified problems and how to improve the situation or implement a new initiative
- Setting the target for improvement or implementation of the initiative

Using the MTP approach, staff members learn to mobilize their own resources and to improve, incrementally, the management of medicines and other pharmaceuticals at their own facility. MTP differs from traditional training approaches in that MTP sessions are held within the participants’ place of work or local environment. Because MTP is a self-learning activity involving many providers in health facilities, its effect is more likely to be sustainable.

**Lessons in Logistics Management for Health Commodities**

Lessons in Logistics Management for Health Commodities is a series of five interactive learning sessions which can be accessed on-line or through a CD and allow the user to work at her own pace to learn the basics of logistics management. The sessions include: Introduction to Logistics, Logistics Management Information Systems, Assessing Stock Status, Maximum-Minimum Inventory Controls Systems, and Selecting Maximum-Minimum Inventory Controls Systems. To request a copy of the CD, email askdeliver@jsi.com

**Commodity Management Planning Guide for the Scale-Up of HIV Counseling and Testing Services**

This guide provides practical guidance on commodity management issues related to establishing, managing, and scaling up HIV counseling and testing services at both national and point-of-service levels. Topics include:

- Selecting HIV test kits and other essential commodities for HIV counseling and testing services
- Estimating quantities of HIV test kits for procurement and selecting suppliers
- Storage management, stock control, and record keeping
- Assuring the quality of HIV test kits, and ensuring that HIV commodities are used safely
and appropriately
○ Commodity management considerations for implementing changes in national HIV testing algorithms.

The guide also contains real-life case studies from developing countries that outline lessons learned and successful interventions for strengthening commodity management systems to support the scaling up of HIV counseling and testing services.

• The Health Manager’s Toolkit: Drug and Supply Management

This section of The Health Manager’s Toolkit contains drug and supply management tools to help managers with the process of distributing drugs and supplies to clinic facilities and ultimately to consumers, through following a cycle of steps: forecasting needs; the bidding process; ordering; receiving; storing/warehousing; and distribution.

Logistics Management Software

Resources:
• Supply Chain Manager

Supply Chain Manager is a software tool written in Microsoft Access 97®. Supply Chain Manager provides logistics management information to managers of distribution systems. Potential clients for Supply Chain Manager include managers and other logistics professionals who oversee the distribution of commodities and who have the technical capacity to implement an automated system. By using Supply Chain Manager to gather and process a program’s logistics data, managers are better able to ensure an effective, efficient, and continuous supply of commodities to clients.

Monitoring and Evaluation

Reliable, comprehensive, and timely surveillance and reporting of health
determinants, health status trends, health service performance, and health resources is crucial to ensuring that the goals of health programs and services are being accomplished and that the quality of health care is being continually improved. Information on program processes and outcomes must be generated, analyzed, synthesized, managed, and disseminated effectively.

Within the development community a strong and growing emphasis on producing quantifiable results has increased attention to, and interest in, monitoring and evaluation (M&E). There is much discussion about results-based planning, results frameworks, and results teams. But people are also frequently confused about what to monitor, what to evaluate, and how best to carry out both tasks.

There is a tendency to forget the importance of good, solid monitoring, which is essential for providing managers the information they need to take action and produce results. In the rush to evaluate, some organizations downplay monitoring in favor of evaluation, in order to show results. Monitoring is an often-underused management practice that can get lost between the evaluators and the planners.

In your role as a manager, you and your team need the information gained from both monitoring and evaluation to manage activities and produce results. You are likely to use your M&E skills to measure health inputs, activities, outputs, and outcomes.

(Taken from LeMay, N. 2010. Leading and managing: Critical competencies for health systems strengthening. In Health systems in action: An ehandbook for leaders and managers. Cambridge: Management Sciences for Health)

Click on the links below to browse:

M&E Guidance

M&E Tools

M&E Guidance

Resources:

- Beyond Indicators and Reporting: M&E as a Health Information Systems Strengthening Intervention

This presentation illustrates some of the tensions that arise when implementing M&E interventions and discusses options for resolving them. This presentation reviews recent experiences and lessons learned in M&E system strengthening; the presenter, Sian Curtis, MEASURE Evaluation project director, places the experiences in the context of current global
discussions related to country ownership and health information systems strengthening.

- **Monitoring and Evaluation of HIV Programs**

  This toolkit outlines the various steps needed to construct logframes and performance monitoring plans for proposals or existing projects.

- **Introduction to Organizational Capacity Assessment (OCA)**

  The organizational capacity assessment (OCA) methodology is a comprehensive and highly participatory approach to achieving organizational change, learning, and development. OCA supports organizations to measure their performance, prioritize organizational challenges, and implement improvement strategies. This module covers Pact's approach to capacity building, key concepts in adult and organizational learning, a typical OD intervention from start to finish, and a range of tools and delivery methods for OD services. This is the first in a series.

- **Chapter 8 of Health Systems in Action: Managing Information: Monitoring and Evaluation**

  Chapter 8 is a practical guide that you, as the manager of a health program or health services, can use to understand and organize essential practices that will improve the monitoring and evaluation (M&E) of health services. It explains the role and function of an effective health information system (HIS). It describes monitoring and evaluation as key program management functions, explains the difference between the two, and offers considerations for making each function more useful to you for learning and action. It also shows how good leadership and management practices are relevant to M&E.

- **Managing Information: Monitoring and Evaluation**

  Chapter eight of *Health Systems in Action: An eHandbook for Leaders and Managers* is a practical guide that you, as the manager of a health program or health services, can use to understand and organize essential practices that will improve the monitoring and evaluation (M&E) of health services. It explains the role and function of an effective health information system (HIS). It describes monitoring and evaluation as key program management functions,
explains the difference between the two, and offers considerations for making each function more useful to you for learning and action. It also shows how good leadership and management practices are relevant to M&E. You can use the information in this chapter to:

- enhance the effectiveness of an HIS;
- use routine monitoring to improve the performance of organizational activities;
- produce actionable data for making informed decisions;
- avoid common M&E pitfalls;
- design an evaluation;
- use frameworks to develop a logical plan for program activities;
- prepare an M&E plan.

The chapter concludes with a story that emphasizes the human element in M&E. The story describes how using less-than-perfect data from an HIS can be beneficial and instill confidence in the system. The story also offers several proven practices in M&E that are relevant to your work as a health manager.

• **PEPFAR Next Generation Indicators Reference Guide**

The indicators in this guidance meet the minimum needs of PEPFAR to demonstrate progress in the fight against HIV/AIDS. Taken together these indicators promote responsible program monitoring across and within PEPFARfunded technical areas.

• **Leading and Managing Results Model**

This short video (9 ½ minutes) describes MSH’s Leading and Managing Results model used by the LMS program.
To view this video please enable JavaScript, and consider upgrading to a web browser that supports HTML5 video

Este es un video breve (10 min.) que describe el modelo de Resultados de Liderazgo y Gerencia de MSH usado por el programa LMS.

Il s'agit d'une courte vidéo (11 minutes) qui décrit de MSH Diriger et gérer les résultats du modèle utilisé par le programme LMS.

To view this video please enable JavaScript, and consider upgrading to a web browser that supports HTML5 video

* Theory of Change Template

The template should be used together with the Keystone Tool: Developing a Theory of Change. This tool explains the concepts behind the development of a theory of change for complex change processes.
Community Leadership Development Program

The Community Leadership Development Program is a training designed for rural leaders that aims to help them understand the processes that contribute to better healthcare management and steps to help build effective teamwork. The program creates support and buy-in for health programs and infrastructure development through a series of five workshops that focus on: visioning, health and education, leadership and planning, conflict resolution and forgiveness, and respect. A facilitation team (usually three facilitators) delivers the program; the rural leaders gather in a central location every two to four weeks until the five workshops are completed. The program recommends that two members from each community participate so they can support each other as they learn, and that leaders from up to eight communities participate together.

Paying for Performance in Health: A Guide to Developing the Blueprint

Paying for Performance in Health: A Guide to Developing the Blueprint helps funders set up a system to financially reward providers or health care users for taking a measurable action (e.g., for having a facility-based antenatal care visit) or achieving a predetermined performance target (e.g., for ensuring that 85 percent of children under 1 year of age are fully immunized in a provider's catchment area). This Guide facilitates the pay for performance design process by offering country teams a systematic framework for creating a "blueprint" that shows "what can be achieved and how it can be achieved." This tool can be used in a training workshop environment to achieve a draft of the blueprint, which would be finalized following a consultative process in country. Alternatively, it can be used by country stakeholders with facilitated technical assistance from experienced pay for performance implementers.

Sampling Hard-to-Reach Populations

This toolkit will assist you to:

1. Understand the main sampling methods for studies with hard-to-reach populations.
2. Choose an appropriate sampling strategy for such a study.
3. Carry out the steps of the sampling design and calculate the sample size for the study.
4. Anticipate common problems that arise when sampling hard-to-reach populations and plan for solutions.
Catholic Relief Services' (CRS) Guidance for Developing Logical and Results Frameworks

This document summarizes Catholic Relief Services’ (CRS) guidance for developing logical and results frameworks.

- **Building Research Capacity: Sampling Strategies**

  Sampling is the last major study design step before sending a research brief to the regional researcher for quality control. Through sampling, a small part of a population is selected to represent a much larger population. Its purpose is to minimize the cost of data collection while maintaining the validity and representativeness of quantitative studies. Sampling is a subset of the research strategy.

- **Costing Framework to Help HIV/AIDS Program Planning and Management**

  This methodology is designed to compare costs of different HIV/AIDS interventions, various stages of the same intervention, and various sets of activities that offer alternative ways of carrying out a given intervention. This approach uses activity-based costing (ABC) to arrive at a standard activity-cost grid within which ongoing and future HIV/AIDS programs can position themselves. A government supporting a multitude of HIV/AIDS interventions and an implementing agency customarily involved in HIV/AIDS programs alike, can use this grid to relate any one of their programs to the rest of their programs; to see where their turf and key priorities are on the national and global map of HIV/AIDS activities; to identify areas of dense concentration of effort and resources and gaps yet to be filled. The lists of activities and costs can be used to design new and evaluate ongoing programs, and technical and budget proposals. For example, the tool would help to estimate unit costs of social marketing condoms in urban and rural areas under the alternative delivery scenarios.

- **How to Manage the Project Cycle --- A Training Toolkit for CBOs**

  This toolkit is for people and organizations (primarily community based organizations [CBOs]) that respond to HIV and AIDS at the community level in developing countries. It aims to build the confidence and skills individuals and CBOs require to develop and manage HIV/AIDS projects more systematically. The toolkit can also be used by non-governmental
organizations (NGOs)/CBOs to implement training within their organizations. It is important that people using this toolkit already have some basic facilitation skills, for example in guiding large group discussions and small group activities. It is also helpful if they have previous experience in designing and managing community level HIV/AIDS projects as well as participatory approaches to needs assessment.

*Building Monitoring, Evaluation and Reporting (MER) Systems for HIV/AIDS Programs*

This publication is an easy-to-use manual designed to assist non-governmental organizations (NGOs), faith-based organizations (FBOs), and community-based organizations (CBOs) in developing a monitoring, evaluation, and reporting framework for HIV programming with "how-to?" sections on adopting this framework to the President's Emergency Plan for AIDS Relief (PEPFAR) monitoring and evaluation requirements.

*Performance Monitoring and Improvement: A Manual and Trainers Guide*

This manual and its annexes (Tools and Approaches for Performance Monitoring and Improvement and the Training Guidelines) are designed to serve as a guide for training program managers, supervisors, and health workers (including nurses and paramedical staff) within government and non-governmental organizations who are working in the areas of PHC program implementation in Africa. This manual is designed to provide a comprehensive review and presentation of the PMI approach. Most of the contents of the manual come from the original version that was developed and published in partnership with the Primary Health Care Division of the Senegal Ministry of Health and Social Welfare and its many collaborative organizations, including WHO, UNICEF, and GTZ. The manual covers the approach in theory and practice, while the related trainer?s guide provides the step-by-step procedures for planning and conducting a workshop on PMI.

*Performance Monitoring and Improvement: A Manual and Trainers Guide*

This manual and its annexes (Tools and Approaches for Performance Monitoring and Improvement and the Training Guidelines) are designed to serve as a guide for training program managers, supervisors, and health workers (including nurses and paramedical staff) within government and non-governmental organizations who are working in the areas of PHC
program implementation in Africa.

This manual is designed to provide a comprehensive review and presentation of the PMI approach. Most of the contents of the manual come from the original version that was developed and published in partnership with the Primary Health Care Division of the Senegal Ministry of Health and Social Welfare and its many collaborative organizations, including WHO, UNICEF, and GTZ. The manual covers the approach in theory and practice, while the related trainer’s guide provides the step-by-step procedures for planning and conducting a workshop on PMI.

- **Guide to Conducting Reviews of Organizations Supplying M&E Training**

In order to have effective performance in M&E supply, the OED (part of WB) takes into consideration three factors: The organizational motivation for M&E supply, the external environment, and the organizational capacity for M&E supply. The WB is working with various countries to strengthen their M&E systems by melding these three strategies together. Logic frames, cost-benefit analyses, sector reviews, program evaluation, poverty monitoring, and impact evaluation are all taken into consideration in this approach. Intended to assist in the in-depth review of organizations delivering M&E training in developing countries. Since a number of these organizations also provide consulting services in M&E and are thus a potentially important source of expertise for ministries and other agencies wishing to commission evaluations, the Guide also encompasses an assessment of the ability of these training organizations to provide M&E consulting services.

- **Guide to Monitoring and Evaluation of Capacity-Building Interventions in the Health Sector in Developing Countries**

This four-part guide focuses on monitoring and evaluation of capacity building interventions. It begins with a brief discussion of the attributes of capacity building, and how these attribute influence monitoring and evaluation (M&E) approaches. The second part introduces a series of conceptual frameworks for understanding the role of capacity in the health sector and illustrates possible capacity variables at each level of the health system. The third part outlines a comprehensive, six-step approach to developing an M&E Plan for capacity-building that centers on the process of capacity mapping. The final section contains a summary and checklist for developing a capacity-building M&E plan. Annexes contain details of M&E approaches and a summary of Web-based resources.

- **Practical guidelines for the monitoring and evaluation of**
capacity building: experiences from Africa

This publication aims to help NGOs and donors involved in capacity building to develop appropriate, cost-effective and practical systems for monitoring and evaluation. While not under-estimating the complexity of this task, this publication puts forward some practical guidelines for designing monitoring and evaluation systems based on experiences with three organizations in Africa.

- Recent Practices In Monitoring and Evaluation

Recent Practices In Monitoring and Evaluation is a paper that defines and discusses capacity assessment in general and presents several approaches for measuring institutional capacity. The authors assess the measurement features of each approach to help USAID managers select the tool that best fits their diverse management and reporting needs.

- Participatory Mid-Term Evaluation Guidelines

These guidelines offer participatory approaches for a mid-term evaluation of family planning programs. The guidelines include core questions on project implementation and internal project management and outline steps in the collaborative evaluation progress. Appendices include: 1) project implementation topics for discussion, 2) examples of data presentation formats, 3) guides to data collection methods, 4) examples of data collection instruments, and 5) a suggested project mid-term evaluation report outline.

- A GUIDE TO Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Affected Settings

The main objective of this guide is to support high quality M&E of capacity building interventions for local NGOs operating in conflict affected settings. In order to meet this objective, the guide outlines a systematic, flexible, and participatory approach for establishing a plan for M&E of capacity building that can be adapted to meet the needs of different organizations. While this guide does not address planning the capacity building intervention itself; ideally the plan for the intervention and the planning for the M&E should occur in parallel. The guide responds to the limited availability of resources for the M&E of capacity building, particularly those that consider the specific challenges faced by local NGOs in conflict affected settings.

-
Impact Planning, Assessment and Learning – an Overview

Keystone has developed IPAL for organizations seeking to improve the way that they can contribute to significant and lasting change.

The present guide is part of the IPAL tool suite that helps organizations create a framework for developing strategies, building partnerships, planning interventions, gathering evidence of success or failure and, most importantly, analyzing and learning from this evidence through open dialogue among constituents and stakeholders who have a real interest in change.

Developing a Theory of Change

Keystone has developed IPAL for organizations seeking to improve the way that they can contribute to significant and lasting change.

The present guide is part of the IPAL tool suite that helps organizations create a framework for developing strategies, building partnerships, planning interventions, gathering evidence of success or failure and, most importantly, analyzing and learning from this evidence through open dialogue among constituents and stakeholders who have a real interest in change.

Code of Good Practice for NGOs Responding to HIV/AIDS

The NGO Code of Good Practice was developed by NGOs, for NGOs, to help guide our work by providing a framework to which we can commit and be held accountable. Drawing on 20 years of knowledge and experience, the Code sets out key principles, practice and evidence base required for successful responses to HIV.

Strategies for an Expanded and Comprehensive Response (ECR) to a National HIV/AIDS Epidemic

For stakeholders and program managers working to develop and implement ECR. Designed to help countries implement.

Feedback surveys for transnational social change networks, A step-by-step guide

The present guide is based on Keystone’s and iScale’s experience in carrying out a feedback survey for 9 transnational social change networks in 2009. This was a pilot project
to develop and test a new approach for monitoring, evaluating and learning about networks. It was funded by the networks themselves and a seed grant from the Evaluation Unit of Canada’s International Development Research Centre. A detailed overall report from the pilot is available on Keystone’s and iScale’s websites.

M&E Tools

Resources:

- **Performance of Routine Information System Management (PRISM) Tools**

The Performance of Routine Information System Management (PRISM) framework consists of tools to assess Routine Health Information System (RHIS) performance, identify technical, behavioral and organizational factors that affect RHIS, aid in designing priority interventions to improve performance, and improve quality and use of routine health data. The beta version of the PRISM toolkit includes the following questionnaires, data collection methods, and processes for assessing RHIS performance, processes, and determinants:

- **Performance Diagnostic Tool** - As the primary component in the PRISM toolkit, this tool determines the overall level of RHIS performance to identify strengths and weaknesses; the other three tools identify the underlying technical, organizational, and behavioral reasons for those strengths and weaknesses.
- **Overview and Facility/Office Checklist** - This tool examines technical determinants, such as the structure and design of existing information systems in the health sector, information flows, and interaction between different information systems. It allows users to understand the availability and status of RHIS resources and procedures used at health facilities.
- **Management Assessment Tool** - This tool is designed to take rapid stock of the RHIS management practices and aid in developing recommendations for better management.
- **Organizational and Behavioral Assessment Tool** - This tool identifies behavioral and organizational factors affect RHIS performance, including data demand, motivation, confidence level, task competence, and problem-solving skills.

- **PEPFAR Next Generation Indicators Reference Guide**

The indicators in this guidance meet the minimum needs of PEPFAR to demonstrate
progress in the fight against HIV/AIDS. Taken together these indicators promote responsible program monitoring across and within PEPFAR-funded technical areas.

- **Capacity-Building Guidance: Guidelines and Tools for Getting the Most from Your Technical Assistance**

  The package includes components on how to:

  Prepare a scope of work (SOW) for the delivery of specific capacity-building technical assistance

  Evaluate the technical assistance delivered.

  Write a technical assistance delivery report.

  Follow up on the technical assistance provided.

- **Monitoring and Evaluation Planning: Guidelines and Tools**

  This Monitoring and Evaluation Planning module is intended to provide concise guidance to develop a comprehensive monitoring and evaluation (M&E) system for international humanitarian relief and development programs. It covers the key planning documents and processes needed to set up and implement an M&E system for project planning, implementation, and evaluation. It is designed for use by M&E specialists, managers of humanitarian and development programs, and decision makers responsible for program oversight and funding.

- **Routine Data Quality Assessment (RDQA) Toolkit**

  The MEASURE Evaluation data quality assurance suite of tools and methods include both data quality auditing tools designed for use by external audit teams and routine data quality assessment tools designed for capacity building and self-assessment.

- **Guidelines and Tools for the Preparation and Use of Indicator Performance Tracking Tables**
As a result of the United States Agency for International Development’s (USAID’s) shift to results-based reporting, Title II programs must now report on performance indicators. The official Title II guidance for emergency and non-emergency food aid programs requires that project impacts be presented in the form of an indicator performance tracking table (IPTT). To facilitate cross-referencing between years and between projects, the USAID/Office of Food for Peace (FFP) requires projects to use a standard format that is described in the Title II proposal guidance. A similar model is recommended for the USAID Child Survival and Health Grants Program (CSHGP) and many other donor agencies.

The IPTT is just one, albeit important, element of a comprehensive monitoring and evaluation (M&E) system. The IPTT distills the project’s information into a short concise table format. It shows where the project stands with regard to its original and revised indicators and shows progress achieved towards the indicator targets. The IPTT can be used to help staff and partners understand better how the project’s M&E data are being used to inform project management and reporting. This, in turn, facilitates donor supervision and reporting. The IPTT is a living document that is regularly updated.

**Human Interest Stories: Guidelines and Tools for Effective Report Writing**

In fiscal year 2003, USAID’s Office of Food for Peace (FFP) requested that short narratives of Title II activities and impacts be included as part of annual results reports (Food Aid Management 2006). In response to this request, the Food Aid Management (FAM) project’s Monitoring and Evaluation (M&E) Working Group addressed the need for guidance on how to write clear and consistent human interest stories by developing the Success and Learning Story Writing Package. Since this document was produced, private voluntary organizations (PVOs) have been using human interest stories for a variety of purposes, including results reporting, evaluations, and fundraising. The co-authors of this module have outlined a seven-step process for developing human interest stories, based on their experience using such stories in a final evaluation of a development assistance program (DAP) proposal.

**Civil Society Organizations Working with Orphans and Other Vulnerable Children: Capacity Assessment Tool for Quality OVC Responses**

This tool can be used to analyze the capacity of national Civil Society Organizations (CSOs) that implement Orphans and Other Vulnerable Children (OVC) activities. Specifically, the tool can be used to identify capacity building needs, plan technical support interventions, and monitor and
evaluate the impact of capacity building support.

- **Monitoring and Evaluation Systems Strengthening Tool**

  The M&E Systems Strengthening Tool is designed as a generic tool to assess the data collection, reporting and management systems to measure indicators of Program and project success. Simply put, this tool addresses primarily the M&E plan and systems that need to be in place to collect and channel data up a system for aggregation into relevant indicators for Program management and reporting.

- **Network Capacity Analysis: A toolkit for assessing and building capacities for high quality responses to HIV**

  The overall aim of this toolkit is to build the skills required by civil society networks to develop and strengthen their capacity. It can be used by networks to help identify their capacity building needs, plan technical support interventions, and monitor and evaluate the impact of capacity building. It provides a structured approach to generating both quantitative and qualitative information about the situation of the organization at the time of analysis. The resulting outcomes can also be used to track progress when developing capacity. Toolkit topics include: Involvement and accountability; Leadership; Knowledge and skills; Internal communication; Advocacy, policy and external communication; Management and finance.

- **How to Develop a Strategic Plan: A Tool for NGOs and CBOs**

  This tool was designed to enable community- and faith-based organizations to develop sound, effective strategic plans. It helps people within these organizations to understand how developing a strategic plan can improve the way they work. The publication begins with an overview of strategic planning. Then, through a series of 12 separate activities, users are guided through a step-by-step process, resulting in the development of a strategic plan.

- **Monitoring and Evaluation Systems Strengthening Tool**

  The M&E Systems Strengthening Tool was developed under the premise that it is important to understand the system through which data are generated, aggregated and reported in order to assess their quality. This tool includes three checklists that Programs or projects can
use to: Assess their M&E plans; Take stock of the capabilities of Management Units to manage data related to the implementation of the Program/project(s); and Assess the data-collection and reporting systems for each program area, including the ability to report valid, accurate and high quality data related to implementation. The M&E Systems Strengthening Tool has been endorsed by the Emergency Plan, the Global Fund, UNAIDS, WHO, the World Bank, Health Metrics Network, and Roll Back Malaria, and is published by the MEASURE Evaluation Project. Its wide use will help focus stakeholder attention on actionable gaps in M&E systems that relate to data collection and indicator reporting and will complement ongoing efforts to strengthen M&E more broadly.

• **Capacity Building Compendium: A Collection of Capacity Building Tools and Resources**

Includes useful examples of: Capacity Mapping Assessment Tool; Skills Audit and Job Analysis Form; Organizational Development Profile; Learning Agreements; and Workplace Journaling.

• **How to Manage the Project Cycle --- A Training Toolkit for CBOs**

This toolkit is for people and organizations (primarily community based organizations [CBOs]) that respond to HIV and AIDS at the community level in developing countries. It aims to build the confidence and skills individuals and CBOs require to develop and manage HIV/AIDS projects more systematically. The toolkit can also be used by non-governmental organizations (NGOs)/CBOs to implement training within their organizations. It is important that people using this toolkit already have some basic facilitation skills, for example in guiding large group discussions and small group activities. It is also helpful if they have previous experience in designing and managing community level HIV/AIDS projects as well as participatory approaches to needs assessment.

• **NGO Capacity Analysis Toolkit**

This toolkit is for people and organizations that support non-governmental organizations (NGOs) and community based organizations (CBOs) responding to HIV/AIDS in developing countries. It includes tools and guidelines to: hold a planning and preparation meeting with NGO management; develop an organizational profile; and facilitate a one-to-two day workshop with staff, management and volunteers to discuss and assess capacities and prioritize areas for capacity building. It also provides questionnaire templates for interviewing
members of the organization; a document review form to assess and analyze relevant documents; guidelines for documenting the process and outcomes using a suggested report format; and advice for the action plan and next steps with the leadership of the NGO.

• **Community-Driven Tools for Data Collection and Decision Making: The PISA Action Guide (PISA)**

The PARTICIPATORY INFORMATION SYSTEMS APPRAISAL (PISA) Action Guide systematically introduces and explains the concepts and strategies needed to make well informed, data-based decisions while empowering key stakeholders in the process. The action guide outlines team preparation activities, data collection methods, data analysis and action planning, and team learning & follow up activities. The data collection process is led by community members who act as information catalysts and have strong ties to the project or research question. This enhances ownership of the project objectives and creates a sustainable information source over the life of the project. Local facilitators and key project stakeholders are actively involved in data instrument design, collection, reporting and analysis. Diagrams, maps, and quantifiable surveys are presented in a manner that is readily understood by community members since they themselves have created them. Data collection methods are tailored for literate and pre-literate, urban and rural communities alike. A variety of techniques appropriate to the target community—such as primary and secondary information sources, semistructured focus groups, and participatory mapping and modeling tools—support effective assessment and decision making.

• **Tools for Development: A Handbook for those engaged in development activity**

Tools for Development aims to help you deliver successful development activities and interventions by giving you access to the skills and techniques you will need to do so.

• **Research-based tool for identifying and strengthening culturally competent and evaluation-ready HIV/AIDS prevention programs**

This article surveys the various ways that the concept of cultural competence has been studied, extends the concept to the field of HIV/AIDS prevention, and presents a simple-to-use instrument that operationalizes the concept for use with HIV/AIDS prevention programs. The article also explores the idea of evaluation readiness among HIV/AIDS prevention
programs in the hope of eventually enlarging the pool of minority-focused HIV/AIDS programs demonstrated as effective. The resultant tool can serve as a research-based framework that: (a) serves as a cost-effective way to select promising programs—especially promising minority-focused programs—for rigorous outcome evaluation; (b) advances the field of HIV/AIDS prevention research by providing a conceptual framework for studying the relationship between cultural competence and program effectiveness; and (c) serves as a framework for building capacity in HIV/AIDS prevention programs, pointing to ways in which such programs can be strengthened.

- **Measuring Institutional Capacity**

To give USAID managers information on measuring institutional capacity, including some tools that measure the capacity of an entire organization as well as others that look at individual components. The discussion concentrates on the internal capacities of individual organizations, rather than on the entire institutional context in which organizations function. It is not about how to actually "strengthen" an institution, nor is it about how to assess the eventual impact of an organization’s work. Rather, it is limited to a specific topic: how to measure an institution's capacities.

- **Checklist of Non-Profit Organizational Indicators**

This website provides non-profit organizations with different checklist indicators for each of the following organizational aspects: legal, governing board, human resources, planning, financial, and fundraising. You can select any in the list that is of interest to you. These checklists will help you identify and understand the organization’s management needs and/or make improvements to management operations. In sum, it will help the organization focus on the right aspects to become more effective and efficient.

- **Monitoring and evaluation of capacity and capacity development.**

This paper relates the European Centre for Development Policy Management (ECDPM) study to key points emerging from a review of some of the literature on the topic of capacity, capacity development, and its monitoring and evaluation (M&E) aspects. This literature represents the perspective of researchers who have surveyed the scene, and practitioners (development institutions or academics) who have invested in capacity development and have reflected on their experiences. It also synthesizes important contributions from systems thinking champions, pertinent to M&E of capacity and capacity development, and reviews some contributions from recently launched innovative approaches to monitoring and evaluating capacity and capacity development. In the light of this body of experience, it distils the M&E-related features and issues raised in the ECDPM case studies, offers some conclusions, and raises questions for further discussion.

- **CSF: Critical Success Factors**
Critical Success Factors (CSFs) are the areas of a business or project that are absolutely essential to its success. By identifying and communicating CSFs through this resource, employees or stakeholders can help ensure their business or project is well-focused and can also avoid wasting effort and resources on less important areas. By making these success factors explicit, and communicating them with everyone involved, users of this tool can help keep the business and project on track towards common aims and goals.

- **The Health Manager’s Toolkit: Information Management**

The Manager’s Toolkit contains numerous tools and instruments that help managers collect, interpret, and use essential information easily and effectively. Some of these tools are designed to help individuals and work teams to collect, organize, consolidate and analyze data related to service delivery and uptake; other tools cater more on specific disciplines such as finance, inventory, and asset management, and pharmaceutical stock management.

- **The Health Manager’s Toolkit: Monitoring and Evaluation**

The Health Manager’s Toolkit provides tools and instruments that help managers design and conduct monitoring and evaluation activities, including performance management, policy assessment, program review, and evaluation, and monitoring and evaluation of training programs. The Toolkit also has a number of tools to help with the selection of indicators to gauge the progress and success of programs, systems and interventions.

**Service Delivery**

Effective *service delivery* means high-quality, evidence-based preventative and curative health interventions, delivered effectively and efficiently at maximum coverage.

As a health manager or provider of health services at the provincial or district level of
government, within an NGO, or in a private-sector facility, you are at or close to the point of care. You can see for yourself how management systems and subsystems affect the relationship between the client and the provider. You can also see how you can use your leadership and management practices to tailor services to local needs by:

- Scanning to understand priority health needs of the local population;
- Focusing on the health services that have the highest priority and can best be provided with the resources you have available;
- Planning strategies and activities that will bring priority health services to the people in your area;
- Organizing structure and systems to deliver the priority services;
- Aligning local stakeholders and mobilizing resources;
- Implementing planned activities through integrating systems and coordinating the work flow;
- Engaging local representatives in using data to monitor and evaluate services from the community perspective;
- Creating a positive work climate and producing results that inspire the commitment of staff and stakeholders.


Click on the links below to browse resources on the following topics:

Assessing Services

Quality Improvement

Scaling Up

**Assessing Services**

Resources:

- Baseline Assessment Tools for Preventing Mother to Child Transmission (PMTCT) of HIV
This package was created to ensure the safe and effective application of Preventing Mother to Child Transmission (PMTCT) in Antenatal Care (ANC) and Mother and Child Health (MCH) services through evaluation of existing services and systematic monitoring and evaluation to:

- Help determine whether existing health services are adequately prepared for the introduction of PMTCT interventions
- Identify gaps for improving ANC/MCH services and for integrating PMTCT services to ensure that PMTCT interventions are safe and effective
- Provide guidance for maintaining high quality services through effective monitoring and evaluation of PMTCT programs.

This package consists of six tools. Each tool has been developed to be able to stand alone and to be used in any type of facility, whether a large referral hospital or small health center.

- **Rapid Assessment of Referral Care Systems ? A Guide for Program Managers**

  This method engages a team of investigators in pursuing different types and sources of data in order to explore various dimensions of the referral process in support of the well-known ?Pathway to Survival? approach for analyzing and improving child care and survival. The assessment uses a cross-sectional study design that includes a review of medical records, interviews with caretakers of children less than five years of age, interviews with health providers, and focus group discussions with caretakers. Prevalence estimates describe referral care patterns of caretakers and providers, referral and counter-referral relationships, frequency of self-referral to higher levels of care, caretaker barriers to compliance with referral, and provider barriers to compliance with referral guidelines. Assessment results are for use by Ministries of Health and other partners to design national- and district-level interventions to improve the successful referral of severely ill children.

- **Clinic Assessment of Youth-Friendly Services**

  This tool is designed to help assessment teams, project managers, trainers, supervisors, and others collect detailed information on the range and quality of services provided to adolescents at a given facility or within a given program in order to make services more youth-friendly. The assessment process facilitates the development of action plans for quality improvement that can help clinics address policy, operations, training, and other program areas needing adjustments and change. The tool also provides essential baseline information, allowing for repeated applications to examine changes and the impact of program interventions. Although the tool is primarily for use by a team, it may also be used by
an individual. Determining minimum requirements for youth-friendly services is a difficult task. The tool consists of spreadsheets and questionnaires and is organized into four sections:

- General Background Information
- Client Volume and Range of Services Provided
- Personnel and Supervision
- Assessment of Youth-Friendliness

**Manual to Evaluate Quality of Care from a Gender Perspective**

The Manual to Evaluate Quality of Care from a Gender Perspective is an evaluation and quality improvement tool that describes how to conduct an assessment of quality of care from a gender perspective. The evaluation methodology was originally designed for clinics providing reproductive health counseling and clinical services for female clients. However, it can also be adapted for services targeting male clients.

**A Tool to Assess Program Capacity: Adding Services to Manage Reproductive Tract Infections**

This tool is designed to help managers make rational decisions about expanding reproductive health services. The tool consists of four questionnaires which assess staff skills, systems, facilities and commodity requirements for four levels of service: 1) Prevention information and condoms, 2) Syndromic diagnosis and treatment, 3) Expanded clinical examination for diagnosis and treatment, 4) Basic laboratory testing for diagnosis and treatment. The tool provides specific strategies to generate answers to the following questions: 1) What knowledge and skills exist among available staff and what skills need to be added to provide services?, 2) What clients will be targeted for services?, 3) What facilities are needed and available to provide services?, 4) What operating systems exist and what may need to be adjusted?, 5) What commodities are available? The answers to these questions are used to decide what, if any, specific program changes are needed and what level of service to provide.

**Quality Improvement**

**Resources:**
Managing Health Service Delivery

Chapter nine of Health Systems in Action: An eHandbook for Leaders and Managers explores the ways in which the health service delivery system interfaces with and builds on the management systems discussed in the earlier chapters of this handbook. You will see how improving the management and leadership of the health service delivery system improves access to and the quality of services. You will observe the importance of strong systems in fostering a positive relationship between clients and providers at service delivery sites—points of care—at all levels of the health system, leading to desired health outcomes.

This chapter deals with some of the most critical elements of health services:

- establishing and high-quality services
- assuring equitable access maintaining
- providing integrated services
- scaling up
- providing community-based primary health care
- working with the private for-profit sector

The chapter presents issues that health care managers and providers face in managing each of these elements. You will become familiar with tools and approaches that have proven effective in addressing each of these issues and with organizations that have successfully addressed the management issues, strengthened the key elements of health service delivery, and brought better health to the populations they serve.

• The Provider's Guide to Quality and Culture

This website is designed to assist health care organizations provide high quality, culturally competent services to multi-ethnic populations.

• Empowering primary care workers to improve health services: results from Mozambique's leadership and management development program

This article is the third article in the Human Resources for Health journal's feature on the theme of leadership and management in public health. The article presents a successful
application in Mozambique of a leadership development program created by Management Sciences for Health (MSH). Through this program, managers from 40 countries have learned to work in teams to identify their priority challenges and act to implement effective responses. From 2003 to 2004, 11 health units in Nampula Province, participated in a leadership and management development program called the Challenges Program. This was following an assessment which found that the quality of health services was poor, and senior officials determined that the underlying cause was the lack of human resource capacity in leadership and management in a rapidly decentralizing health care system. The program was funded by the US Agency for International Development (USAID) and implemented in partnership between the Mozambican Ministry of Health (MOH) Provincial Directorate in Nampula and Management Sciences for Health (MSH). The Challenges Program used simple management and leadership tools to assist the health units and their communities to address health service challenges. An evaluation of the program in 2005 showed that 10 of 11 health centers improved health services over the year of the program. The Challenges Program used several strategies that contributed to successful outcomes. It integrated leadership strengthening into the day-to-day challenges that staff were facing in the health units. The second success factor in the Challenges Program was the creation of participatory teams. After the program, people no longer waited passively to be trained but instead proactively requested training in needed areas. MOH workers in Nampula reported that the program’s approach to improving management and leadership capacity

**COPE® Handbook: A Process for Improving Quality in Health Services**

COPE is a process and a set of simple and practical tools to assess and improve the quality of reproductive health care services. The COPE process encourages self-assessment and joint problem solving by service staff and supervisors. It empowers staff to undertake improvement activities. The first COPE exercise is often done with the assistance of an external facilitator, or with a supervisor within the system who has been trained in facilitating COPE. Using ten self-assessment guides based on the framework of clients’ rights and providers’ needs, the facilitator works with supervisors and staff who assess the services they provide. Staff also interview clients. Based upon the problems identified, they develop an action plan containing problems and causes, suggested solutions, persons responsible for taking action, and the timeframe for solving the problems. At subsequent COPE exercises, other tools may be used. For example, staff may use a client flow analysis to examine the time clients spend in the clinic and how staff use time, or more in-depth self-assessment guides related to, for example, infection prevention or maternity services.

**Community COPE®: Building Partnership with the Community to Improve Health Services**
The Community COPE manual provides a step-by-step explanation of the participatory process including meeting with local leaders, identifying community groups to work with, preparing and conducting participatory activities, developing and prioritizing the action plan, reviewing membership of the site’s quality improvement committee, and implementing the action plan. The appendices include specific tools to carry out each step. These include values clarification exercises for providers, a guide for discussions with local leaders, facilitation tips, individual interviews for current/former/potential clients of health services, group discussion guides by topic, a site walk-through checklist, and guides for participatory mapping by topic.

**User’s Guide on Planning and Managing a Quality Survey in Reproductive Health Programs**

The User's Guide was prepared for two reasons:

- To document the experience and lessons of the Management Sciences for Health (MSH) Turkey program in implementing quality surveys, and
- To provide other international health programs with detailed information to replicate similar surveys to improve performance and management of family planning (FP) and reproductive health (RH) programs.

The User’s Guide consists of four sections: 1) preparation, 2) fieldwork, 3) analysis and feedback, and 4) cost and level of effort. Each section provides detailed information on the steps involved including some stories from the Turkey program's experience, and key lessons learned. Data collection tools, sample training agenda/content areas, and sample formats for reports and other management tools are provided in the body of the manual or in the appendices.

**COPE for Maternal Health Services: A Process and Tools for Improving the Quality of Maternal Health Services**

COPE is a process and a set of simple and practical tools for assessing and improving the quality of maternal health services. The process encourages self-assessment and joint problem solving by service staff and supervisors. It empowers staff to undertake improvement activities.

The manual contains the following tools: 1) self-assessment guides for each of the clients’ rights and providers’ needs, 2) an obstetric admission record review checklist, 3) a client interview form, and 4) client flow analysis forms for use with antenatal and postpartum clients. These tools have practical and easy-to-use data collection and analysis forms that are
designed to be flexible so that the supervisors and staff can adapt them to their particular needs.

- **COPE for Child Health: A Process and Tools for Improving the Quality of Child Health Services**

COPE for Child Health is a process and a set of simple and practical tools designed to assess and improve quality of child health services. The process encourages self-assessment and joint problem solving by service staff and supervisors. The manual contains the following chapters to guide users through the COPE process. Services covered in the manual include antenatal care, postpartum and neonatal care, sick young infant visit (age 1 week to 2 months), sick young child visit (age 2 months to 5 years), growth monitoring, infection prevention, immunization and well childcare.

- **The Health Manager's Toolkit: Clinical Services and Quality Management**

Clinical services and quality management tools help in the management of health services delivery at both the clinic and the community levels. This section of The Health Manager's Toolkit contains tools focusing on improving the quality of service delivery for clients, reducing client waiting time, and improving logistics and supply management. These are management tools and not diagnostic or treatment tools used by clinicians.

**Scaling Up**

**Resources:**

- **Commodity Management Planning Guide for the Scale-Up of HIV Counseling and Testing Services**

This guide provides practical guidance on commodity management issues related to establishing, managing, and scaling up HIV counseling and testing services at both national and point-of-service levels. Topics include:

- Selecting HIV test kits and other essential commodities for HIV counseling and testing
services
○ Estimating quantities of HIV test kits for procurement and selecting suppliers
○ Storage management, stock control, and record keeping
○ Assuring the quality of HIV test kits, and ensuring that HIV commodities are used safely and appropriately
○ Commodity management considerations for implementing changes in national HIV testing algorithms.

The guide also contains real-life case studies from developing countries that outline lessons learned and successful interventions for strengthening commodity management systems to support the scaling up of HIV counseling and testing services.

•

A Guide to Fostering Change to Scale Up Effective Health Services

The purpose of A Guide to Fostering Change to Scale Up Effective Health Services is to link effective change practices with proven clinical and programmatic practices to achieve results by:

○ Increasing awareness of proven approaches to effective change
○ Describing principles that are fundamental to effective change
○ Providing "how-to" steps for successful change
○ Describing key challenges related to the steps and recommending strategies, tools or approaches for meeting those challenges
○ Offering cases that show how the steps have been implemented in real situations

The Guide features sections covering:

○ Principles for fostering and leading change
○ A "how-to" process for fostering change
○ Illustrative examples of fostering change

General Management

Good management is the glue that holds an organization together, contributes to a positive work climate, and supports high-quality services, thus helping bring an organization?s vision to life.
A well-managed organization has a strong yet flexible structure and accountable, transparent governance practices (institutional sustainability). Its structure and good governance allows it to respond to the shifting priorities of its supporters and to new responsibilities toward its clients, while creating a positive work environment for its staff.

A well-managed organization draws on various sources of revenue, allowing it to support its ongoing efforts and to undertake new initiatives (financial sustainability).

A well-managed organization delivers products and services that respond to its clients’ needs and anticipates new areas of need (programmatic sustainability). Its success enables it to expand its client base.

Even well-managed, successful organizations must constantly reassess and adapt their management practices as new demands arise and environments change. An organization’s leaders play a critical role in fostering a climate of continuous assessment and improvement.


Click on the links below to access resources on the following topics:

Organizational Development

Project Design & Implementation

Organizational Development

Resources:

- Management and Organizational Sustainability Tool (MOST)
The Management and Organizational Sustainability Tool (MOST) is a process for improving an organization’s management, with the end result of contributing to improved services. This tool can help organizations map the development of key management components and use these results for planning improvements and monitoring progress.

- **Community Leadership Development Program**

  The Community Leadership Development Program is a training designed for rural leaders that aims to help them understand the processes that contribute to better healthcare management and steps to help build effective teamwork. The program creates support and buy-in for health programs and infrastructure development through a series of five workshops that focus on: visioning, health and education, leadership and planning, conflict resolution and forgiveness, and respect. A facilitation team (usually three facilitators) delivers the program; the rural leaders gather in a central location every two to four weeks until the five workshops are completed. The program recommends that two members from each community participate so they can support each other as they learn, and that leaders from up to eight communities participate together.

- **Responsibility and Authority Mapping Process (RAMP)**

  The Responsibility and Authority Mapping Process (RAMP) is designed to help policymakers, senior managers, or stakeholder groups identify health management functions for which responsibility and management authority are most ambiguous. It can be used in either a single area of the organization (such as personnel or financial resources) or at the national health system level. The RAMP is a guided inquiry that consists of three phases: clarifying the purpose of the RAMP application and adjusting the instrument and process to the local setting; collecting, analyzing, and presenting the RAMP data; and using the RAMP findings to promote management decisions.

- **Management, Leadership and Partnership for District Health**

  This module is used in training WHO District Health Management Teams of the Africa Region. The purpose of this module is to familiarize the teams with basic leadership and management principles around teamwork, multi-sectoral collaboration, partnerships, and community participation. The module includes a discussion on:
  - Management and leadership concepts including:
- The management function
  - Managerial roles
  - Management of change

- Teamwork
  - Features of effective working teams

- Multisectoral Collaboration:
  - Types of partnerships
  - Approaches to partnerships
  - Development of networking
  - Communication

- Partnership between organizations:
  - Characteristics of an organization
  - Factors facilitating partnership
  - Constraints of partnership
  - Developing coordination among organizations in the District

- Community participation and partnerships:
  - Importance of community participation
  - Promoting partnerships with the community
  - How to measure community participation

The module also includes several case studies for further reflection.

- Organizational Technology Assessment and Planning Tool

The Progressive Technology Project (PTP) developed a set of programs to strengthen and meet the divergent needs of diverse grassroots community-led organizing groups using technology to advance their efforts. To that end, PTP developed this self-assessment tool that helps organizations think about what they do and how technology can support their work. The offline tool reviews the communication within the organization, the use and creation of media or materials tools, the involvement of community, research and analysis done within the organization, the program structure, and administration.

- The Family Planning Manager, Volume 5 Number 4: Planning for Sustainability: Assessing the Management
Capabilities of your Organization

This issue of The Manager explains how organizations move through stages of development as they build their management capabilities, and presents the management development assessment (MDA) methodology, a systematic process for rapidly assessing the management capabilities of your own organization. Two supplements accompany this issue. The Pocket Guide to MDA Indicators provides sample management indicators to help you set measurable indicators for assessing organizational capabilities. The MDA Start-Up Kit provides instructions on developing and administering an MDA questionnaire to collect information on management capabilities and includes a full sample questionnaire. The issue concludes by explaining how to analyze the results of your assessment and develop and implement an MDA action plan, so that you can make lasting management improvements and strengthen the sustainability of your organization.

Guide to Assessing Management Capacity Among Non-Governmental Organizations (NGOs)

This guide was developed to assist non-governmental organizations (NGOs) and program managers assess management strengths and weaknesses so that they can jointly formulate and implement a management development program. The management capacity assessment is divided into nine parts: 1) organizational profile, 2) knowledge of the community, 3) planning, 4) human resource management, 5) managing community workers, 6) management information systems, 7) commodity logistics management, 8) financial management, and 9) health facilities. Several of the topics are divided into a general management module and a family planning management module. Each module stands alone so that modules can be added or deleted in response to the characteristics of the NGO. Each module generates a score; the scores are intended as an aid to identify areas of relative weakness. The scores also provide a way of tracking changes in management capacity over time, so that the impact of management development interventions can be assessed.

The Health Manager's Toolkit: General Management and Operations
Many of the tools contained in the Managers’ Toolkit address the challenges that come with general management and operations. From planning, budgeting and implementing activities to procuring and maintaining physical assets, the Toolkit provides a number of instruments to aid managers with their day-to-day management functions.

Project Design & Implementation

Resources:

- **Logical Framework Analysis for NGOs**

  A log frame (also known as a Project Framework) is a tool for planning and managing development projects. It looks like a table (or framework) and aims to present information about the key components of a project in a clear, concise, logical and systematic way. The log frame model was developed in the United States and has since been adopted and adapted for use by many other donors, including the Department for International Development (DFID).

  A log frame summarises, in a standard format:

  - What the project is going to achieve?
  - What activities will be carried out to achieve its outputs and purpose?
  - What resources (inputs) are required?
  - What are the potential problems which could affect the success of the project?
  - How the progress and ultimate success of the project will be measured and verified?


  Resource for NGOs to develop workplace strategies for HIV/AIDS


  The primary purpose of the Risk Identification and Analysis Guide for Small Public Entities is to provide small public entities with a user-friendly process to identify and analyze their risks
on an enterprise wide basis. The Guide was written by the Public Entity Risk Institute whose mission is to serve public, private, and nonprofit organizations as a dynamic, forward thinking resource for the practical enhancement of risk management. In the Guide, the author has included forms and potential loss and impact summaries that may help make the risk identification and analysis process more easily manageable.

• **A Guide for Developing a Logical Framework**

The Logical Framework is a tool to help strengthen project design, implementation and evaluation. This means that you use it throughout the project cycle. The Logical Framework is a simple tool which helps you:

- organise your thinking;
- relate activities and investment to expected results;
- set performance indicators;
- allocate responsibilities;
- communicate information on the project concisely and unambiguously.

Source URL: https://www.k4health.org/toolkits/leadershipmgmt