



**USAID**  
FROM THE AMERICAN PEOPLE

# Organization Capacity Development Framework and Strategy

**Support to Private Health Facilities Associations**

**Private Health Sector Project**

**May 2016**

# **Private Health Facilities Associations Organizational Capacity Development Framework**

## **I. Overview – Capacity Building Strategy**

The Private Health Sector Project has been key promoter of establishment of private health facilities associations in the country. The project continued to provide technical and financial support to the association after their establishment where the associations attained commendable results in short period of time especially in bringing the concerns of the private health sector to policy makers. The approach followed was an adaptive capacity building approach with a continuous capacity improvement process. The support focuses on both capacity building pillars of human resource development and organizational capacities development.

The capacity enhancement intervention of the program to the associations commenced immediate with the establishment of the associations. Primarily the support focused on principal tasks required for a newly established association, specifically membership mobilization and strategic planning. A membership mobilization strategy was devised with each association and developed into an action plan. Associations have now significant number of members that gave them a legitimate base both for their representation and resources mobilization. All the associations have been supported in their strategic planning that guide them strategically pursue their establishment objectives. All have now their 5 years strategic plan that clearly defines their vision, mission statement and milestone goals and all key activities they intend to perform in the coming five years. The stakeholders' analysis guided their partnership building and networking. The associations pursued a commendable effort in the partnership building where some have now signed Memorandum of Association with the Regional Health Bureau.

The human resource development was that administered in this first stage. A needs assessment was primarily conducted to identify the necessary skills association leaders should have to effectively lead the associations operations. Following, technical and managerial training was organized and delivered to the leaders which included leadership and organizational management, planning, fund raising, and finance for non - financial management. The associations are being continuously supported with their planning and program implementation to ensure the practical adaptation and application of the skills gained from the training. Through the process of the grant support administered for over two years now the associations are acquainted with USAID allowable expenditures, procurement and reporting.

## **II. Goal of the Organizational Capacity Building Support to Associations**

In the tenure of the new 5 year Private Health Sector Project the capacity building will continue in strengthened manner and focusing on the organizational capacity development aspect for the associations. The new Project support aims at ensuring that the Private Health Facilities Associations attain the necessary organizational, operational and technical capacities to operate as full-fledge organizations that capably operationalize their establishment objectives and promote the private health sector agendas as well as to have capacity to administer the project activities.

- The project's capacity building support baseline/framework will be set in the first operation year of the program. For this operational status assessment of the associations will be conducted with each to structurally identify and prioritize the organizational capacity and system gaps and needs of the associations.
- The baseline will be set with milestone capacity building supports which will be administered to the associations in priority orders starting the first program year of the project. The baseline also serves as reference framework for tracking the capacity attainment of the associations in the remaining and successive years of the project.
- The capacity building support for each year will be implemented based on annual support plan. The support will be facilitated by the in-house personnel of the project, and with shared responsibilities from the association secretariat, where some requiring specific expertise will be facilitated through outsourced consultancies.
- A capacity building support log will be maintained to each association to record and manage end year all the annual supports identified, all supports provided, additional supports facilitated and the evaluated level of attainment of capacity.

The project adopts organizational capacity assessment tool which is largely used by USAID project implementers especially funded by the President's Emergency Plan for AIDS Relief (PEPFAR) and implementing health programs, but refined and customized to the typical scope of the project and the organizational nature of the supported targets (the private health facilities associations). The tool focuses on ten domain area, where besides the first seven common domains areas domains on member mobilization, training, clinical mentoring and supportive supervision are additionally included. The additional domain areas are identified and sought as additional requirements for the target associations comprehensive capacity-building improvement and attainment to capably administer the project outsourced activities.

## **11. The Organizational Capacity Development Domain Areas**

The organizational capacity development focuses on technical, operational and organizational capacity attainment in the following ten domains, and each domain has a number of sub-attributes.

1. Governance
2. Administrative Operations
3. Human Resources Management
4. Financial Management
5. Program Operations Management
6. Communication and Networking and Partnership Building
7. Project Performance Management
8. Membership Mobilization
9. Clinical Training Management

## 10. Clinical Mentoring and Supportive Supervision

### **III. Objectives and targets under each domain areas:**

#### **I. Governance**

##### **General Objective:**

To assess and ensure the organization's conformity to standard governance system and stability by reviewing its guiding principles, structure and Board oversight.

##### **Specific Objectives:**

11. To review the organization has set its vision, mission and values in statements that reflect what it does and spires to be and how the statements are being used and communicated guiding its operation.
12. To determine if the organization has outlined its organization structure depicted in organogram or narrative, in line with its mission, goals and programs and if systems exist to ensure strong coordination among departments and functions.
13. To ensure that the board is capable of providing adequate guidance to the organization assessing the board's composition, work procedure and involvement and oversight of operation.
14. To ensure that the organization has a continuing legal standing, by checking legal registration, renewal and compliance with local laws and reporting to local authorities.
15. To assess the organization's ability to continue smooth operations and programs management in the event of incidental absence and shift in leadership.

#### **2. Administrative Operations**

##### **General Objective:**

To assess and ensure the organization's capacity to develop and apply administrative policies and procedures that warrant transparent, accountable and quality work systems.

##### **Specific Objectives:**

1. To assess the availability of and adherence to operational policies and procedures that serve the need of the organization, (that include written and documented travel, procurement, fixed assets control and inventory, information system and documentations, policies and procedures)
2. To review the operation policies and procedures compliance to donor requirement, rules and obligations.

3. To assess that the policies and procedures are known by staffs and there are trained and designated staffs to effectively administer the respective operations, procurement, fixed assets, information systems.

### **3. Human Resources Management**

#### **General Objective:**

To assess and ensure the organization's Human Resources Management is guided with a written and documented policies and procedure, and its ability to maintain satisfied and skilled workforce that implement quality programs.

#### **Specific Objectives:**

1. To assess that staff roles and responsibilities are clearly defined and understood in a way relevant to the needs of the organization, and review the systems for developing, disseminating, following and updating job descriptions (JDs).
2. To assess the organization's systems for recruiting staff and including consultants is guided by standard procedures for recruitment/guideline and with confirmation and documentation tracking professional and salary history.
3. To ensure that personnel operations document and verify staff time and operational engagements, in standard filling and that best practices in managing personnel are adhered to.
4. To review the organization's systems for management of staffing, positions available and positions filled, and setting and managing salaries grade and arranges and benefits.
5. To review the organization's systems for managing staff performance appraisal including self-assessment and dual performance appraisals.

### **4. Financial Management**

#### **General Objective:**

To assess and ensure the organization's Financial Management is guided with a complete financial system, documented policies and procedures, and its adherence to standard financial and accounting systems.

#### **Specific Objectives:**

1. To assess the existence of financial system with financial manual, accounting journals, chart of accounts, payment vouchers, and availability of staff trained for keeping financial records.
2. To assess the organization's financial planning and if there is a system for monitoring budgets.

3. To assess the financial policies and procedures ability to respond to management and donor requirements.
4. To assess if internal controls adequately safeguard the organization's assets, manage internal risk and ensure the accuracy and reliability of accounting data.
5. To assess whether the organization undergoes routine audits that meet statutory and donor requirements and has a system for addressing audit findings.
6. Resources: financial manual, signatory policy/authority matrix, payment vouchers, staff interviews, audit reports on internal controls, insurance policies.
7. To assess the organization's finance strategy and its ability to secure diversified revenue base, to generate reserves and to sustain its operations.

## **5. Program Operations Management**

### **General Objective:**

To assess and ensure the organization's capacity in strategic and program operations planning and its ability to implement comprehensive programs that respond to local needs and priorities and that comply with requirements of donor, partners, stakeholders and specific target of populations.

### **Specific Objectives:**

1. To assess the organization's ability to strategic planning confirming to realizing its mission and goals.
2. To assess the organization's ability to plan and implement its annual operational and program planning (with clearly stated goals, measurable objectives and strategic interventions/activities, clear timelines, responsibilities and indicators)
3. To assess the organization's ability to follow up and technically oversee executions and performance with periodical reviews.
4. To assess the organization's ability to identify and capitalize on new business opportunities through grants and partnerships.
5. To assess the organization's capability to respond to USG donor requirements.
6. To ensure the organization's programs respond to and address its member needs, and its involvement of members in its planning and decision-making at policy level.
7. To evaluate the organization's systems for assessing culture and gender issues among the population it serves.

## **6. Communication and Partnership Building and Networking**

### **General Objective:**

To assess the organization's planning, communication, management of external relations and information systems and ensure means for enhanced organizational management and capitalizing on new opportunities.

### **Specific Objectives:**

1. To assess the comprehensiveness, completeness and effectiveness of the organization's communication strategy.
2. To assess the organization's ability to link with other organizations (government, national, international, community, technical, academic) and its system for sharing knowledge, experiences, technical expertise and best practices with staff.
3. To review the organization's approach to internal communication and decision making.
4. To assess the organization's ability to subcontract with other organizations and monitor technical implementations.

## **7. Project Performance Management**

### **General Objective:**

To assess the organization's systems for overseeing for program implementations, monitoring actual performance against standards and targets and for setting indicators and tracking progress toward achieving outcomes.

### **Specific Objective:**

1. To assess how the organization collects and uses data to plan, monitor and evaluate its programs.
2. To assess that the organization has procedures and systems for overseeing field and programmatic activities.
3. To assess the organization has quality monitoring tools and ability to identify and address gaps in meeting performance standards.
4. To assess the organization has systems for integrating review results and changes into the organizations operation and program activities.

## **8. Membership Mobilization**

**General Objective:**

To assess and ensure that the organization has an organized membership mobilization system and capably follow and ensure execution of membership commitments.

**Specific Objectives:**

1. To assess that there is a functional membership mobilization system
2. To review that the organization has an organized database and keeps updated information about its members and duly tracks fee payment and other required membership commitment from members.
3. To review that the organization functions through sub-regional committees for its members mobilization, resources mobilization and program application and there is a clearly defined roles and function of the sub-committees.
4. To assess that the membership mobilization strategy and work flow with regional consistency adhered to, regularly reviewed and updated.

**9. Clinical Training Management****General Objective:**

To assess and ensure that the organization has the technical and operational capacities to organize and deliver clinical trainings:

**Specific Objectives:**

1. To assess that the organization has responsible person for planning and conducting in-service clinical and related services.
2. To assess that the organization maintain annual in service training plan and regularly maintain its training database.
3. To assess that organization has and regularly follow a clinical training SOP that fulfills the national requirements and that the SOP is duly followed in conducting the trainings.
4. To assess that the organization have a training assessment checklist, and it regularly assess training implementations.

**10. Clinical Mentoring and Supportive Supervision.****General Objective:**

To assess and ensure that the organization has technical and operational capacity to conduct clinical mentoring and supportive supervisions (SS) to health facilities:

**Specific Objectives:**

1. To assess that the organization have responsible person for planning and conducting clinical mentoring and supportive supervision services.



2. To assess that the organization maintain a pre-plan for clinical mentoring and supportive supervision.
3. To assess that the organization use a standardized clinical mentoring and supportive supervision checklist.
4. To assess that the clinical mentoring and supportive supervision reports timely prepared, communicated and documented.