

CHAPTER 3 PLANNING AND CONDUCTING THE ASSESSMENT

3.1 Chapter Summary

This chapter discusses the steps to plan and conduct a health system performance assessment using this manual. It should be used as a compendium of best practices for managing the logistical aspects of the assessment to make the best use of the analytical talent and skills set of the assessment team. After the U.S. Agency for International Development (USAID) Mission has selected the country where the assessment will take place, it will undertake the activities described in this chapter. The chapter's intended user is the person managing the assessment, and the design of the chapter assumes that that assessment manager and others involved in the assessment have desk research as well as field-based research experience.

The next chapter (Chapter 4, "Synthesizing Findings and Developing Recommendations") focuses on approaches for analyzing the data and assessment findings, and recommends proven methodologies for developing, validating, and prioritizing interventions.

The following key activities are involved in planning and conducting an assessment; some of them occur concurrently—

1. Identify the needs and priorities of the USAID Mission.
2. Agree on the scope, time frame, and dates of the assessment.
3. Prepare an assessment budget.
4. Assemble an assessment team and assign responsibilities.
5. Prepare the logistics checklist.
6. Schedule and conduct team planning meetings.
7. Compile and review background materials.
8. Prepare a contact list and interview key informants.
9. Organize a stakeholder workshop.
10. Hold a post-assessment debriefing as needed.
11. Prepare the assessment report.

Several templates and samples of documents are provided as annexes to this chapter; others are available in the CD that accompanies this manual. Annexes for Chapter 3—

- Annex 3A. Template for Assessment Scope of Work
- Annex 3B. Sample Assessment Budget Templates (included electronically on CD only)
- Annex 3C. Sample Local Consultant Scope of Work
- Annex 3D. Sample Logistical and Task Checklist
- Annex 3E. Sample Team Planning Meeting Agenda

- Annex 3F. Sample List of Background Documents—Desktop Review for Azerbaijan Assessment
- Annex 3G. Sample In-Country Interview Schedule
- Annex 3H. Sample Contact List
- Annex 3I. Sample Stakeholder Workshop Agenda
- Annex 3J. Suggested Outline for Final Assessment Report
- Annex 3K. Outline of Assessment Report from Pilot Test in Angola—Angola Health System Assessment (full report included electronically on CD that accompanies this manual or available for download at www.healthsystems2020.org)
- Annex 3L. Outline of Assessment Report from Pilot Test in Benin—Benin Health System Assessment (full report included electronically on CD that accompanies this manual or available for download at www.healthsystems2020.org)

3.2 Activity 1: Identify the Needs and Priorities of the USAID Mission

Once you have decided to proceed with a rapid health system assessment, you will need to address a few key points before moving forward—

- **Review the purpose of this assessment tool** and what kind of information it can provide to the Mission (see Chapter 1, “Health Systems Strengthening: An Introduction” and Chapter 2, “Overview of the Approach”). Make sure that the information from the assessment will match the type of information needed by the Mission and its programs.
- **Identify any special needs the Mission may have** (e.g., specific areas of interest) and determine if this assessment tool can meet that need. The tool is designed to assess overall health system performance. It does not focus on specific health programs or conditions, such as Integrated Management of Childhood Illness or tuberculosis. If program-specific information is needed, the assessment organizers and the Mission should agree on an approach to address these needs. Strategic priorities may also require special consideration.
- **Identify recent or upcoming in-country studies or activities** that may be useful to the assessment. The Mission and other organizations working in the country may be aware of recent studies, health sector (or subsector) assessments, or other publications that may be useful in planning and preparing for this assessment. This research will also help to identify overlaps between the proposed assessment and any recent or future activities in-country.
- **Determine which modules would be most relevant.** Given the priorities and needs of the USAID Mission, this assessment could cover all the technical modules or only a

subset of them. Note that the core module is mandatory and must be completed regardless of the overall scope.

- **Define structure and scope of the final assessment report.** Annex 3J provides a suggested outline for the final assessment report. Discuss this report with the USAID Mission and reach an agreement for the overall structure and scope of the report. (Outlines of the assessment reports prepared as part of the Angola and Benin pilot tests are included as Annexes 3K and 3L and serve as examples.)

3.3 Activity 2: Agree on the Scope, Time Frame, and Dates of the Assessment

The final scope of your work will be influenced by the following considerations.

- The overall level of effort is based on *the number of modules to be applied*. An estimated two person-weeks per module will be required. This estimate is based on one week for preparatory work and report writing plus one week for fieldwork for each module. It does not include travel time.
- The time required will also be influenced by *the number of people on the assessment team*. For example, if all seven modules will be implemented, the team could be set up with two people who do three or four modules each, three people who do two or three modules each, or four people who do one or two modules each. The expertise of the team members, the ready availability of data, and type of final report requested will also influence the time requirements. Time for translation of materials may also need to be considered.
- The time and number of team members required will be also depend on *where the assessment will take place*. Although the assessment primarily focuses on data that can be collected at a national (central) level, you may find that conducting all or some of the assessment at a subnational level is appropriate, particularly in decentralized systems or in cases where information and systems must be verified at a provincial or district level. If a provincial- or district-level visit is to be conducted, you will need to consider the following issues.
 - *Site selection.* Work with USAID Mission and possibly a local bilateral or nongovernmental organization (NGO) project to identify possible locations or sites.
 - *Budgetary implications.* Most likely, you will have travel costs associated with the trip, and they need to be integrated into the budget. Furthermore, the level of effort for assessing regional or lower level agencies and stakeholders, in addition to central agencies, will imply a larger budget for interviews.
 - *Time implications.* If the in-country travel will take several days, you may need to extend the time of the assessment or send only part of the assessment team.

- *Technical considerations.* You may need to develop field questionnaires based on the modules to help team members ask the appropriate questions for the subnational level.
- Any *specific information needs* agreed to with the Mission will need to be considered.
- Estimate the time frame in which all assessment activities will be conducted. The availability of selected team members, holidays, and other events will determine the exact dates of the assessment. The assessment activities are not limited to the fieldwork, but also include time for organizational and logistic preparation, team member preparation, and post-fieldwork.

Draft the scope of work for the assessment early in the process to help inform potential assessment team members of their role and tasks. A template for developing the assessment scope of work is presented in Annex 3A.

3.4 Activity 3: Prepare an Assessment Budget

You will need to prepare the budget early in the planning process. An Excel[®] template, which is presented in Annex 3B (and is available on the CD that accompanies this manual), can be used to draft the budget. It should be updated as additional information becomes available, such as personnel daily rates and the cost of interpreters and translators, if needed. Some key considerations for the budget are listed below.

- Team member time
 - Planning time—technical lead and administrative or logistics support
 - Team member time—preparatory, fieldwork, and report preparation
- Travel costs (as needed)
 - Airfare
 - Per diem
 - Visa costs
 - Telecommunications costs (phone and Internet access)
- Contracted services (as needed)
 - Local consultant
 - Translator(s)
 - Driver(s) and car(s)

- Conference room facilities for the stakeholder workshop (room charge, food costs, and equipment rental)
- Other
 - Photocopies for reference materials, reports, and other documents
 - Postage (mailing of documents before visit, if needed)

3.5 Activity 4: Assemble an Assessment Team and Assign Responsibilities

The selection of the assessment team is a critical step in planning the assessment. Team members may include the Mission Population, Health and Nutrition (PHN) officer, other staff, staff from other USAID offices, in-country consultants, and external consultants. You will likely assemble the team and assign roles and responsibilities accordingly.

The roles, qualifications, responsibilities, and estimated level of effort of each assessment participant are described below.

3.5.1 The Assessment Coordinator's Responsibilities

The assessment coordinator is the point person responsible for the organization and logistics of the assessment. This person may be the Mission PHN officer or another designated person who will work in collaboration with assessment team members, the USAID Mission, and any local consultants. The assessment coordinator could be a member of the assessment team or could function in a purely organizational role.

The coordinator should have experience in organizing data collection efforts and managing consultants, and should have strong research and interpersonal skills. The person would ideally have some familiarity with the country's health sector, contacts with stakeholders, and advanced command of the language of the assessment country as well as English.

A local consultant may be hired to assist with the local coordination activities if the assessment coordinator is not based in the country. Responsibilities would need to be divided accordingly. If a local consultant is hired to take on part of the coordination activities, a local consultant scope of work will be necessary. A sample scope of work is supplied in Annex 3C.

Key responsibilities of the assessment coordinator are divided into preparatory work and support to the team during fieldwork.

3.5.1.1 The Assessment Coordinator's Preparatory Work

In advance of fieldwork, the assessment coordinator will need to do the following.

1. Prepare scopes of work, background documents, and the like.

2. Assist in selecting the assessment team.
3. Prepare the assessment logistics checklist and budget.
4. Manage logistical preparations, including the following—
 - a. Interface with USAID regarding logistics for the team.
 - b. Assist with invitations and arrangements for the stakeholder workshop.
 - c. Prepare the schedule of work for the team members (each team member will have independent and team or group meetings), including scheduling and confirming appointments. Provide guidance on appropriate informants in the health sector.
 - d. Obtain quotes for mobile phone rental for the team.
 - e. Plan travel.
5. Organize team meetings.
6. Work with the assessment team to obtain reports and other data sources required in advance and extract specified information.
7. Hire a local consultant (if needed).
8. Hire local translator(s) to work with the team (if needed).
9. Hire a car and driver to provide transportation for the team during the visit, including pick-up and drop-off at the airport.
10. Provide guidance on general work protocols for the team, including regular daily working hours (start, lunch, end), holidays, introductions, and language.
11. Establish protocols for interview note-taking, sharing notes among team members, and report preparation templates or formats before the trip begins.

3.5.1.2 The Assessment Coordinator's Support of the Team during Fieldwork

During the fieldwork, the assessment coordinator will need to do the following.

1. Meet with team at the start of field activities and participate in team meetings.
2. Assist the team as needed during the initial briefing meeting with USAID.
3. Assist the team to collect data as needed.
4. Interpret or translate as needed.
5. Help prepare for and participate in the stakeholder workshop.

- a. Confirm conference room arrangements (including availability of overhead digital projector, flipchart paper, markers, notepads, and pens among others).
 - b. Arrange for photocopies as requested by the team.
6. Contribute to Country Health Systems Assessment Report as needed.
 7. Travel to one or two provincial areas (as required).

The expected level of effort for the coordinator is a minimum of five days of preparatory work, plus time to support the team as needed during the fieldwork. Although the preparatory work is estimated at five days, this work would be done over a two-month period to allow time for the various planning steps to be taken. If the assessment coordinator is also a team member, the level of effort would need to be revised accordingly. Similarly, the level of effort may need to be revised if delays occur.

3.5.2 The Assessment Team Leader's Responsibilities

The assessment team leader is responsible for the overall management of team activities in the field and for the timely completion of the assessment. The team leader will do the following—

1. Lead the team and its activities; clarify the scope and timeline with the assessment coordinator, the team, and country counterparts.
2. Liaise with the assessment coordinator (and local consultant if needed) and the Mission on scheduling interviews, site visits, and logistics.
3. Coordinate with the assessment coordinator and the Mission to prepare for and conduct the stakeholder workshop.
4. Plan for daily activities during fieldwork with other team members.
5. Facilitate daily team meetings.
6. Deliver final assessment report to the USAID Mission. The team leader is likely to be the lead author of the assessment report, although one of the other team members can take on this role. Either way, the team leader will be responsible for finalizing the report and delivering it to the USAID Mission.

3.5.3 The Assessment Team Members' Responsibilities

Assessment team members should have a health-system background; knowledge of at least one of the areas of study (e.g., health financing, pharmaceuticals, human resources, health information systems); and preferably have the ability to speak, write, and read in the language of the assessment country to facilitate document review and interviews. Having these language skills will also reduce costs associated with interpretation and translation services. The assessment team will be responsible for the following tasks listed below.

3.5.3.1 The Team Members' Preparatory Work

In advance of fieldwork, team members will need to do the following.

1. Read through this manual.
2. Participate in team planning meetings and discussions.
3. Work through the modules they are assigned.
4. Prepare lists of documents needed and potential interviewees to submit to the assessment coordinator, based on the modules they are assigned.
5. Review, analyze, and understand Component 1 data for all the modules, which are derived from established databases.
6. Review background documents and prepare the desk study (Component 2) to the degree possible; at least some parts of each module can be completed with a desk study and the information verified during fieldwork. Note that the core module, particularly, should be completed as much as possible at this stage since it provides valuable background information for the entire team.
7. Identify information gaps, based on preparatory work, that are to be filled during fieldwork.

3.5.3.2 The Team Members' Fieldwork

The assessment tool was designed to be implemented in-country over one person-week per module. Note that this estimate does not include travel time and assumes that sufficient preparatory work is completed as described above. The level of effort may be revised based on the number of modules each team member is responsible for, the level of experience of the team members, and the like. Key fieldwork tasks required of the team are the following.

1. Meet with team at the start of fieldwork and participate in regular team meetings.
2. Collect data on assigned module(s) through document review and interviews.
3. Prepare preliminary analyses in cooperation with team members. Draft relevant sections for the Country Health Systems Assessment Report, including recommended potential activity areas and interventions.
4. Prepare for and conduct a stakeholder workshop.
5. Travel to rural areas or regional and district level locations, as required.

3.5.3.3 Report Preparation

Post-fieldwork activities will vary depending on the reporting needs of the Mission. Key post-fieldwork tasks are the following.

1. Finalize the Country Health Systems Assessment Report, including recommendations, based on input from the stakeholder workshop and mission staff.
2. Participate in follow-up meetings, as needed.

3.6 Activity 5: Prepare the Logistics Checklist

A sample checklist of tasks and logistical steps is presented in Annex 3D. You will need to make travel arrangements for team members not based in the country. In addition, depending on the country and the interests of the USAID Mission, you may need to plan for trips to areas outside of the central capital city. A local consultant may be particularly helpful in making these arrangements.

3.7 Activity 6: Schedule and Conduct Team Planning Meetings

Before the assessment, schedule a meeting for the team to review the purpose of the assessment, review the manual, and assign responsibilities. A second team meeting may be scheduled after the preparatory work has been completed and before fieldwork. The focus of this meeting should be the review of remaining information gaps and scheduling the fieldwork. At a minimum all team members and the coordinator should be present and participate. (This meeting may be conducted by conference call.) A sample team planning meeting agenda is presented in Annex 3E.

In addition, during the fieldwork, regular daily team meetings led by the team leader are recommended.

3.8 Activity 7: Compile and Review Background Materials

Compile background information on the country, and in particular any general health documents, early in the assessment process. Each module should have identified specific documents and types of documents from which relevant information may be obtained. A sample list of background documents that was prepared for Azerbaijan is included in Annex 3F.

The assessment coordinator should facilitate the collection of the documents and distribution to the team members. Hard copies of key documents can be compiled in a binder or electronically on a CD and shared at the first team meeting. Encourage team members to keep a list of all documents consulted and provide the list as part of the assessment report.

Information that is pulled from any document must be properly cited, so that the source of the information can be checked later if questions are raised about it. Simple tools may be used to manage the information that is gleaned from documents. For example, information pulled from documents may be entered into a database to facilitate sorting by topic. Software programs that can assist with this include Reference Manager[®] and MS Access.[®]

3.9 Activity 8: Prepare a Contact List and Interview Key Informants

Before fieldwork begins, you will need to consult with the USAID Mission, the assessment coordinator, and the team members to identify key informants. Other donors and stakeholders may be queried about potential key informants in advance of the fieldwork, and country reports can also provide a lot of names of people to follow-up with. The generic titles of likely key informants are listed in the individual modules. When selecting the specific individuals to be interviewed, specify the topics and types of information that will be discussed during the interview to make sure that the most appropriate person will be selected.

The local consultant can assist with scheduling the interviews. A sample interview schedule is presented in Annex 3G. A contact list of team members, Mission contacts, and interviewees should also be prepared and maintained throughout the assessment. A contact list template is presented in Annex 3H. One of the team members should be assigned the responsibility of maintaining this list.

This tool assumes that the assessment team members have some relevant field-based research experience. Nonetheless, you may want to remind them of good information gathering and interviewing practices. Box 3.1 provides some basic tips for conducting a successful interview.

This tool does not include questionnaires to be applied during interviews. Rather, the questions that need to be addressed to obtain data for the indicators are simply listed by topic without any

Box 3.1 Interview Tips

Insist on getting copies of documents and texts. Whenever a respondent refers to a study, policy, law, or other document, ask for a copy, or at least a citation for the document. If needed, get an independent translation. Having your own copy will allow for independent evaluation of the content of the document and serve to confirm the informant's interpretation of the contents.

Use consistent questions with flexible follow-up across all the sources interviewed. Interviews must be designed to get consistent information. Start with a list of questions, and try to cover all of them in the interview. In particular, when both the provider and patient are being interviewed, be sure to cover the same topics with each.

Seek information from multiple perspectives. For many reasons, different parties may perceive the same situation in different ways. An informant may be a great distance from the reality on the ground. Some informants may not be exposed to what is actually happening, or may only feel comfortable speaking to the ideal, or the way things should be.

Document interview notes promptly. Document your interview notes every night. If your team splits up to interview different informants, you can share your experiences through the notes. The notes then become an important resource as the team prepares the final report.

Source: Ravenholt and others (2005).

particular order with respect to the most likely respondent. In advance of the field visit, and as part of the documentation review, team members should draft country and site-specific (e.g., central versus regional) interview guides according to most likely respondent. Careful preparation will help avoid duplication of questions to the same individual and will also ensure that the sequence of the questions asked will be logical.

3.10 Activity 9: Organize a Stakeholder Workshop

The stakeholder workshop will be the final fieldwork activity for the assessment team. The stakeholder workshop is intended to be a forum in which stakeholders can—

- Review, discuss, and validate team’s major findings
- Provide input on their priorities, based on strengths and weaknesses discussed
- Provide input on the team’s recommendations
- Identify how they will or can be involved in follow-up activities, how to move forward, or how to provide feedback and recommendations on major options presented by the team

Organizing the workshop is the responsibility of the team leader in coordination with the USAID Mission. Key activities include the following.

- Identify invitees, set the agenda, and confirm dates.
- Send invitations.
- Reserve a location, such as a hotel conference room, and plan for coffee breaks (best done in advance or immediately upon arrival in-country).
- Reserve audiovisual equipment and procure other supplies such as flipcharts and markers (also best done in advance or immediately upon arrival in-country).
- Prepare presentations and handouts for the workshop.
- Meet with USAID before the workshop to review draft findings and agenda.

An example of a stakeholder workshop agenda is included in Annex 3I.

3.11 Activity 10: Hold a Post-Assessment Debriefing as Needed

In addition to the stakeholder workshop, the Mission may request a debriefing meeting after fieldwork is completed. This meeting may also be requested by USAID Washington depending on the availability of team members.

3.12 Activity 11: Prepare the Assessment Report

Assessment team members should start drafting their findings early, during preparatory and fieldwork. The assessment findings, recommendations, and discussion in the stakeholder workshop should be documented in the final report. Each module chapter contains guidance on summarizing findings. Annex 3J includes a suggested outline for the final report. Annexes 3K and 3L include outlines of the assessment reports prepared for the Angola and Benin pilot tests and serve as examples. Team members will need to agree on a timeline and approach for finalizing and disseminating the report, in consultation with the USAID Mission.

Reference

Ravenholt, Betty, Rich Feeley, Denise Averbug, and Barbara O'Hanlon. 2005. *Navigating Uncharted Waters: A Guide to the Legal and Regulatory Environment for Family Planning Services in the Private Sector*. Bethesda, MD: Private Sector Partnerships-One Project, Abt Associates Inc.

Annex 3A. Template for the Assessment of Scope of Work

SCOPE OF WORK Health Systems Assessment Approach [Country]

Background

USAID's Office of Health, Infectious Diseases and Nutrition (HIDN) has developed a Health Systems Assessment Approach as part of its global Mainstreaming Health Systems Strengthening Initiative. The Approach is meant to serve the following purposes:

- Allow Population, Health and Nutrition (PHN) officers from USAID (with the assistance of experts/consultants if necessary) to conduct an assessment of a country's health system. This includes diagnosing the relative strengths and weaknesses of the health system, prioritizing key weakness areas, and identifying potential solutions. This may be particularly relevant during early phases of program development.
- Inform PHN officers about the basic elements and functions of health systems.
- Improve the capacity of bilateral projects to achieve USAID's health impact objectives through increased use of health systems interventions.
- Help health systems officials at USAID to conceptualize key issues, increase the use of health systems interventions in technical programs, and to improve the role of the Health Systems Division to support these programs.

The assessment tool covers the following components of the health system—governance; health financing; human resources and health facilities; pharmaceutical supply system; and health information systems. More details on the assessment methodology and topical areas are in Annexes 1 and 2.

The technical team will be composed of three team members plus a local consultant. The team will include a Team Leader from [organization] and other team members from [organizations].

The team will be assisted by the USAID PHN officer in [country]. The assessment team will review documents and conduct interviews to gather specific information on the health system in [country]. The visit will conclude with a brief workshop with USAID representatives and other key stakeholders.

Overall Scope of Work

Assessment:

- Systematically assess strengths and weaknesses of the health system using health system assessment tool. The tool is designed to provide a broad assessment of the performance of the health sector. Topics to be covered are governance, health financing, human resources and health facilities, pharmaceuticals, and health information systems (see Annex 1).
- Provide general recommendations on potential activity areas for health system strengthening following from the strengths and weaknesses identified in the assessment.

- Conduct a stakeholder workshop at the end of the assessment visit to build consensus on what the key health system priority areas are.
- Liaise with the new PHN bilateral program in [country] to share findings and information.
- The assessment will not evaluate disease- or program-specific areas as the tool is not designed to do so. However, given the Mission's interest in tuberculosis and family planning issues, the team may be able to provide information as available that may be relevant to those two areas.

Tasks of Assessment Team Members

The allocation of tasks among team members will be discussed at team planning meetings.

Prior to team arrival (LOE: expected 5 days)

1. Participate in team planning meetings and discussions.
2. Review assigned module(s) and discuss any questions with module authors.
3. Review background data (Component 1 data will be compiled by [organization]).
4. Prepare a draft donor map based on a review of available documents.
5. Prepare lists of documents needed and potential interviewees (entire team). The lists will be provided to the local consultant who will compile the documents and facilitate translation as needed.
6. Review background documents and prepare the desk study (Component 2) to the degree possible. This activity will be supported by the local consultant who will work to obtain reports and other data sources required in advance and extract specified information.

During team visit (LOE: expected 15 days)

1. Meet with team upon arrival and participate in team planning meeting.
2. Collect Component 2 data through document review and interviews.
3. Assist in mapping current interventions/reforms to address weaknesses identified in assessment.
4. Prepare preliminary analyses in cooperation with team members. Draft relevant sections for the Country Health Systems Assessment Report, including recommended potential activity areas and interventions.
5. Prepare and conduct stakeholder workshop.
6. Liaise with USAID PHN officer as needed to prepare for the stakeholder workshop and other activities.
7. Liaise with new health bilateral program personnel to share and discuss findings.
8. Provide input as part of the pilot test with regard to approach/methodology, indicators, timeline, level of effort, and format.
9. Travel to one rural area, to be determined, may be required. It is expected to be a brief trip.
10. Work will be conducted in [language], and will be assisted by translators as needed.

The team will work under the overall direction of the Team Leader. All team members will contribute to day-to-day problem solving, solutions to issues of data availability, technical questions, etc. This may require daily team meetings and other updates while in [country].

Post in-country visit (LOE: expected 5 days)

1. Review any final comments received from the Mission and local counterparts.
2. Make corrections and adjustments to report for finalization.

Outputs

1. Stakeholder workshop report
2. Country Health Systems Assessment Report (draft outline will be provided)

The deliverables will be prepared in English but may be translated into relevant local language if requested.

Annex 1. Outline of the Health Systems Assessment Approach

Introduction

This chapter provides the motivation for and the purpose of the approach. It also describes the layout of the product (the manual and the CD). This section will draw from the framework paper previously presented to USAID (“Health systems assessment approach: draft framework”).

Table of Contents

Chapter 1: Health Systems Strengthening: An Introduction

This is a background chapter explaining health systems and discussing their key functions. This chapter serves as an informational piece for those less familiar with health systems. The chapter builds on the paper written for the Child Survival Technical Resource Materials (TRM) on Health Systems Strengthening. The chapter also provides a reference list for additional papers on health systems.

Chapter 2: Overview of the Approach

This chapter describes the framework for the approach, listing and explaining the structure of the technical modules and their components. The approach draws from the framework paper previously presented to USAID (“Health systems assessment approach: draft framework”). An annex provides a list of all the indicators and qualitative questions in each module, grouped by topical area.

Chapter 3: Planning the Assessment

This chapter provides guidelines for planning the assessment process, including—

- Identifying needs and priorities of the USAID Mission—this is so that the assessment can appropriately focus on the right issues and help provide recommendations to the Mission.
- Time frame/schedule for the planning process and the in-country assessment
- Budgeting for the assessment
- Guidelines on how to select the assessment team (e.g., types of consultants to be recruited, how many)
- Terms of reference (TOR) for staff and consultants for assessment team
- Agenda for assessment team planning meetings
- Types of documents to be reviewed before beginning the assessment and during the assessment phase
- Types of stakeholder interviews to schedule
- Identifying districts/provinces to visit outside the central capital area
- Organizing the stakeholder workshop, including purpose of the workshop, suggested agenda for the workshop, and a template for presenting findings
- Logistics checklist for planning the assessment, including the stakeholder workshop
- Overview of the assessment report that should be prepared using this approach; annexes provide a suggested outline and outlines from two completed reports from prior assessments as samples

Chapter 4: Synthesizing Findings and Developing Recommendations

This chapter includes guidelines on how to process, analyze, and interpret the findings from each module, with particular attention to synthesizing these findings across all modules. Focus is on how to identify key strengths and weaknesses of the health system, and how to identify root causes of problems to be addressed. Guidelines are also provided for how to develop recommendations for the Mission and how to link the recommendations to the USAID Mission's overall goals and priorities, including (to the extent possible) those of its bilateral projects. It will address strategic objective (SO)-specific goals as well those related to the fragile state framework.

Chapter 5: Core Module

This is the background/foundation module and will be required to be completed by all users. In particular, if any users are planning to work through only a subset of the technical modules (Chapters 6–11), they would need to complete this core module to understand the basic background information about the country and its health systems.

Component 1: This includes basic demographic, health, and socioeconomic indicators for the country. Data for the indicators is provided in an electronic format on the CD provided with this manual (data file titled “Component 1 data”). Data for regional and income peer country comparisons are also provided in the data file.

Component 2: This will not be solely based on indicators as in the case of the other technical modules (see below for Chapters 6–11). This section focuses on developing some basic understanding and profiles of a country’s health system. Topics covered include:

- Political and macroeconomic environment: Provides guidance on how to describe the political structure of the country.
- Business environment and investment climate: Provides sources of information and guidance on how to analyze the factors that affect private investment and enterprise growth and to identify the barriers to sustaining and expanding the private sector.
- Top causes of mortality and morbidity: These data are to be collected in-country and could help guide any disease-specific recommendations to the USAID Mission. In addition to the top causes of morbidity and mortality, prevalence rates for HIV/AIDS and malaria will be collected, if important in the country context. Note that the health systems assessment approach does not have a disease specific focus, but a user may have to address this in developing recommendations for the USAID Mission.
- Structure of the main government and private organizations involved in the health care system: This includes a template for developing a Ministry of Health (MOH) organizational chart to help support the assessment process.
- Decentralization: This includes indicators to understand the level of decentralization in the country—this will be important for determining the type of assessment that should be conducted.
- Service delivery organization: This section provides an overview of the structure of service delivery, including types of health facilities in the country, and of the engagement of the private sector, including proportion of services and facilities in the private sector and involvement of NGOs and the commercial sector.
- Donor mapping: This includes a template for mapping donor activities in the health sector—this will be important for understanding the level of activities in the country, as well as to identify gaps.
- Donor coordination: This includes indicators for assessing the level of donor coordination and the related strengths and weaknesses.

Chapters 6–11: Topical Chapters—the Technical Modules

Chapter 6: Governance module addresses the information assessment capacity of the health system, policy formulation and planning, social participation and health system responsiveness, accountability, and regulation.

Chapter 7: Health financing module covers sources of financial resources; the pooling and allocation of health funds, including government budget allocation and health insurance; and the process of purchasing and proving payments.

Chapter 8: Service delivery module examines service delivery outputs and outcomes; the availability, access, utilization, and organization of service delivery; quality assurance of healthcare; and community participation in service delivery.

Chapter 9: Human resources module covers systematic workforce planning, HR policies and regulation, performance management, training/education and incentives.

Chapter 10: Pharmaceuticals management module evaluates the health system's pharmaceutical policy, laws, regulations; selection of pharmaceuticals; procurement, storage, and distribution; appropriate use and availability of pharmaceuticals; access to quality pharmaceutical products and services; and financing mechanisms for pharmaceuticals.

Chapter 11: Health information systems (HIS) module reviews the current operational HIS components; the resources, policies and regulations supporting the HIS; data availability, collection, and quality; and, analysis and use of health information for health systems management and policy-making.

These chapters include technical modules, each with a set of indicators for conducting a health system assessment. The key elements of each module are—

- System profile: This section provides guidelines for developing a basic profile of the health system aspect assessed in each module. It includes templates for doing this, such as mapping tools, flowcharts, etc.
- Component 1: This component includes indicators for which data are easily available from international datasets. Data for Component 1 indicators is provided in an electronic format on the CD provided with this manual. Specific attention will be given to including regional or other peer country comparisons wherever feasible. Charts indicating possible ways of presenting the data will also be included in an annex.
- Component 2: This component presents the indicators grouped by subtopic within each module. Each indicator will be linked to one of five performance criteria: equity, efficiency, access, quality, and sustainability. Users will have to conduct a combination of desk review of documents and stakeholder interviews to collect data for these indicators. Detailed descriptions of each indicator will be included (a template and guidelines have been provided to chapter authors).
- Assessment process: Each chapter provides module-specific guidelines on the process for working through each module, synthesizing findings and preparing recommendations for interventions. These guidelines are meant to complement Chapter 4.

Annex 3B. Sample Assessment Budget Templates

Note: Additional lines and items can be added to this template as needed. This template is available in MS Excel format on the accompanying CD.

Line Item		Rate	Unit	Quantity	Total (Rate x Quantity)
Labor (add lines for as many people as needed)					
Name	Title	\$	/day	# days	\$
Name	Title	\$	/day	# days	\$
Name	Title	\$	/day	# days	\$
Name	Title	\$	/day	# days	\$
Name	Title	\$	/day	# days	\$
Subtotal US labor					\$ Subtotal
Travel					
Travel – airfare	Destination	\$	/trip	# fares at that rate	\$
Travel – airfare	Destination	\$	/trip	# fares at that rate	\$
Travel – airfare	Destination	\$	/trip	# fares at that rate	\$
Per diem	Destination	\$	/days	# days	\$
Per diem	Destination	\$	/days	# days	\$
Per diem	Destination	\$	/days	# days	\$
Other costs—local travel	Destination	\$	/trip	#	\$
Other costs—visa		\$	/trip	#	\$
Other costs—misc.		\$	/trip	#	\$
Subtotal travel					\$ Subtotal
Subcontracts/Outside services					
Conference room	Stakeholder workshop	\$	/day	# days	\$
Coffee service	Stakeholder workshop	\$	/person	# people	\$
Audiovisual equipment	Stakeholder workshop	\$	/day	# days	\$
Driver and car		\$	/day	# days	\$
Translators		\$	/day	# days	\$
Subtotal Subcontracts					\$ Subtotal
Other costs					
Postage		\$			\$
Communications		\$			\$
Other		\$			\$
Subtotal Other					\$ Subtotal
Total Assessment Budget					\$ (Sum of Subtotals)

Annex 3C. Sample Local Consultant Scope of Work

SCOPE OF WORK
Local Short Term Consultant
Health Systems Assessment Approach [Country]
Draft Month, Day, Year

Background

USAID's Office of Health, Infectious Diseases and Nutrition (HIDN) seeks to develop a Health Systems Assessment Approach as part of its global Mainstreaming Health Systems Strengthening Initiative. The approach is meant to serve the following purpose:

- Allow Population, Health and Nutrition (PHN) officers from USAID to conduct an assessment of a country's health system, possibly during early phases of program development (with the assistance of experts/consultants if necessary). This includes diagnosing the relative strengths and weaknesses of the health system, prioritizing key weakness areas, and identifying potential solutions.
- Inform PHN officers about the basic elements and functions of health systems.
- Help improve the capacity of bilateral projects to achieve USAID's health impact objectives through increased use of health systems interventions.
- Help health systems officials at USAID to conceptualize key issues, increase the use of health systems interventions in technical program interventions, and to improve the role of the Health Systems Division.

The assessment tool covers the following components of the health system: stewardship/governance; health financing; human resources and health facilities; pharmaceuticals; private sector engagement; and health information systems. More detail is on the assessment methodology is in Annexes 1 and 2.

The technical team will be comprised of:

1. Team Leader (organization)
2. Technical specialist (organization)
3. Technical specialist (organization)
4. Local short-term consultant (contracted through [organization])

The team will be assisted by the USAID PHN officer in [country]. As part of the pilot test the assessment team will review documents and conduct interviews to gather specific information on the health system in [country]. The visit will conclude with a brief workshop with USAID representatives and other key participants.

Objective of the Technical Assistance (Local consultant)

The local, short-term consultant will work with the technical team to identify relevant sources of data for the assessment, obtain data and documents, and assist in document review. Further, the consultant will assist the team with coordinating the program of visits, facilitating access to key

informants (setting up interviews and meetings), participating in the data collection activities, providing translation, and assuring that local technical and logistic needs are met in a timely and effective way. The local consultant will be expected to help the team members who will speak English and [language] to interact with counterparts in [language].

Expected Specific Tasks **[insert dates]**

Prior to team arrival (LOE: minimum 5 days)

1. Work with technical team to obtain reports and other data sources required in advance and extract specified information. This will assist the team with collecting data for Level 2 and 3 of the assessment (see Annex 1). Lists of the types of documents needed will be provided closer to the team visit.
2. Manage logistical preparations:
 - a. Interface with USAID regarding logistics for the team.
 - b. Obtain quotes for mobile phone rental for team.
 - c. Assist with invitations and arrangements for a workshop to be held on the last day of the visit.
 - d. In consultation with [organization], prepare the schedule of work for the team members (each team member will have independent meetings and team or group meetings), including scheduling and confirming appointments. Provide guidance on appropriate informants in the health sector.
 - e. Provide other logistical support as needed.
3. Coordinate with and/or hire local translator(s) to work with the team to translate from [language] to English. The number of translators will depend on team requirements
Translators would
 - f. Accompany team members on interviews to provide interpretation services
 - g. Review and translate documents are required
4. Provide guidance on general work protocols for the team, including regular daily working hours (start, lunch, end), holidays, introductions, language, etc.
5. Hire car and driver to provide transportation for the team during the two-week visit, including pick-up and drop-off at the airport.

During team visit (LOE: expected 15 days)

1. Meet with team upon arrival and participate in team planning meeting.
2. Assist team as needed during initial briefing meeting with USAID.
3. Assist team to collect Level 2 and Level 3 data (see description of the tool in Annex 1)
4. Interpret/translate as needed in [language]. Work with other translators as needed.
5. Contribute to preparations, and participate in the stakeholder workshop. Confirm conference room arrangements (including availability of overhead digital projector, flip chart paper, markers, notepads and pens, among others). Arrange for photocopies as requested by the team.
6. Provide input on the pilot test process.
7. Draft relevant sections for the Country Health Systems Assessment Report, including recommended solutions.

8. Travel to one rural area, to be determined, may be required. It is expected to be a brief trip.

A more specific list of tasks with dates will be provided when the dates of the visit are confirmed. The Team will work under the overall direction of the Team Leader. All team members will contribute to day-to-day problem solving, solutions to issues of data availability, technical questions, etc.

Consultant Profile

The following background and experience are required.

- Familiarity with the health sector as a health professional in medicine, public health, health financing/economics, or health services administration
- Experience in evaluation and/or health systems research, preferably at national level
- Excellent quantitative and qualitative skills
- Experience working in health sector in [country]
- Advanced command of [language] and advanced reading, writing, and speaking skills in English
- Ability to work in teams
- Helpful to have familiarity and contacts in the ministry of health, private sector, and/or donor community

Outputs

The reports will be prepared in English. Reporting deadlines will be specified when the assessment schedule is finalized.

Contact Information

<Insert Contact Information>

Attachments:

- Annex 1: Brief description of the assessment tool

Annex 1. Outline of the Health Systems Assessment Approach

Introduction

This chapter provides the motivation for and the purpose of the approach. It also describes the layout of the product (the manual and the CD). This section will draw from the framework paper previously presented to USAID (“Health systems assessment approach: draft framework”).

Table of Contents

Chapter 1: Health Systems Strengthening: An Introduction

This is a background chapter explaining health systems and discussing their key functions. This chapter serves as an informational piece for those less familiar with health systems. The chapter builds on the paper written for the Child Survival Technical Resource Materials (TRM) on Health Systems Strengthening. The chapter also provides a reference list for additional papers on health systems.

Chapter 2: Overview of the Approach

This chapter describes the framework for the approach, listing and explaining the structure of the technical modules and their components. The approach draws from the framework paper previously presented to USAID (“Health systems assessment approach: draft framework”). An annex provides a list of all the indicators and qualitative questions in each module, grouped by topical area.

Chapter 3: Planning the Assessment

This chapter provides guidelines for planning the assessment process, including—

- Identifying needs and priorities of the USAID Mission so that the assessment can focus appropriately on the right issues and help provide recommendations to the Mission
- Time frame/schedule for the planning process and the in-country assessment
- Budgeting for the assessment
- Guidelines on how to select the assessment team (e.g., types of consultants to be recruited, how many)
- TOR for staff and consultants for assessment team
- Agenda for assessment team planning meetings
- Types of documents to be reviewed before beginning the assessment and during the assessment phase
- Types of stakeholder interviews to schedule
- Identifying districts/provinces to visit outside the central capital area

- Organizing the stakeholder workshop, including purpose of the workshop, suggested agenda for the workshop, and a template for presenting findings
- Logistics checklist for planning the assessment, including the stakeholder workshop
- Overview of the assessment report that should be prepared using this approach; annexes provide a suggested outline as well as outlines from two completed reports from prior assessments as samples.

Chapter 4: Synthesizing Findings and Developing Recommendations

This chapter includes guidelines on how to process, analyze, and interpret the findings from each module, with particular attention to synthesizing these findings across all modules. Focus is on how to identify key strengths and weaknesses of the health system, and how to identify root causes of problems to be addressed. Guidelines are also provided for how to develop recommendations for the mission and how to link the recommendations to the USAID mission's overall goals and priorities, including (to the extent possible) those of its bilateral projects. It will address SO-specific goals as well those related to the fragile state framework.

Chapter 5: Core Module

This is the background/foundational module and will be required to be completed by all users. In particular, if any users are planning to work through only a subset of the technical modules (Chapters 6–11), they would need to complete this core module to understand the basic background information about the country and its health systems.

Component 1: This includes basic demographic, health, and socio-economic indicators for the country. Data for the indicators is provided in an electronic format on the CD provided with this manual (data file titled “Component 1 data”). Data for regional and income peer country comparisons are also provided in the data file.

Component 2: This will not be solely based on indicators as in the case of the other technical modules (see below for Chapters 6–11). This section focuses on developing some basic understanding and profiles of a country's health system. Topics covered include:

- Political and macroeconomic environment: Provides guidance on how to describe the political structure of the country.
- Business environment and investment climate: Provides sources of information and guidance on how to analyze the factors that affect private investment and enterprise growth, and to identify the barriers to sustaining and expanding the private sector.
- Top causes of mortality and morbidity: These data are to be collected in-country and could help guide any disease-specific recommendations to the USAID Mission. In addition to the top causes of morbidity and mortality, prevalence rates for HIV/AIDS and malaria will be collected, if important in the country context. Note that the health systems assessment approach does not have a disease specific focus, but a user may have to address this in developing recommendations for the USAID Mission.
- Structure of the main government and private organizations involved in the health care system: This includes a template for developing a MOH organizational chart to help support the assessment process.

- Decentralization: This includes indicators to understand the level of decentralization in the country—this will be important for determining the type of assessment that should be conducted.
- Service delivery organization: This section provides an overview of the structure of service delivery, including types of health facilities in the country, and of the engagement of the private sector, including proportion of services and facilities in the private sector and involvement of NGOs and the commercial sector.
- Donor mapping: This includes a template for mapping donor activities in the health sector -this will be important for understanding the level of activities in the country, as well as to identify gaps.
- Donor coordination: This includes indicators for assessing the level of donor coordination and the related strengths and weaknesses.

Chapters 6–11: Topical Chapters – the Technical Modules

Chapter 6: Governance module addresses the information assessment capacity of the health system, policy formulation and planning, social participation and health system responsiveness, accountability, and regulation.

Chapter 7: Health financing module covers sources of financial resources; the pooling and allocation of health funds including government budget allocation and health insurance; and the process of purchasing and proving payments.

Chapter 8: Service delivery module examines service delivery outputs and outcomes; the availability, access, utilization, and organization of service delivery; quality assurance of healthcare; and community participation in service delivery.

Chapter 9: Human resources module covers systematic workforce planning, HR policies and regulation, performance management, training/education, and incentives.

Chapter 10: Pharmaceuticals management module evaluates the health system’s pharmaceutical policy, laws, regulations; selection of pharmaceuticals; procurement, storage, and distribution; appropriate use and availability of pharmaceuticals; access to quality pharmaceutical products and services; and financing mechanisms for pharmaceuticals.

Chapter 11: Health information systems module reviews the current operational HIS components; the resources, policies and regulations supporting the HIS; data availability, collection, and quality; and, analysis and use of health information for health systems management and policy-making.

These chapters include technical modules, each with a set of indicators for conducting a health system assessment. The key elements of each module are—

- System profile: This section provides guidelines for developing a basic profile of the health system aspect assessed in each module. It includes templates for doing this, such as mapping tools, flowcharts.
- Component 1: This component includes indicators for which data are easily available from international datasets. Data for component 1 indicators is provided in an electronic format on the CD provided with this manual (data file titled “Component 1 data”). Specific attention will be given to including regional or other peer country comparisons wherever feasible. Charts indicating possible ways of presenting the data will also be included in an Annex.
- Component 2: This component presents the indicators grouped by subtopic within each module. Each indicator will be linked to one of five performance criteria: equity, efficiency, access, quality and sustainability. Users will have to conduct a combination of desk review of documents and stakeholder interviews to collect data for these indicators. Detailed descriptions of each indicator will be included (a template and guidelines have been provided to chapter authors).
- Assessment process: Each chapter provides module-specific guidelines on the process for working through each module, synthesizing findings and preparing recommendations for interventions. These guidelines are meant to complement Chapter 4.

Annex 3D. Sample Logistical and Task Checklist

Indicate who will be responsible for completing the task, the expected due date, and when it was completed

	USAID/DC	USAID/ Mission	Coor- dinator	Local Consultant	Team Lead	Team Members	Date Due	Date Completed
Preparatory Work								
General coordination								
Identify scope of assessment and how many modules will be completed								
Identify team composition								
Set dates for the assessment—consider relevant holidays and events								
Schedule meeting with USAID Mission regarding intent and timing of assessment								
Prepare scopes of work (team and local consultant, as needed)								
Schedule and participate in team planning meeting(s) and discussions								
Determine if in-country travel will be required								
Module prep work								
Prepare briefing binder for first team meeting with country information, background materials, and other assessment information								
Assign modules to team members								

Indicate who will be responsible for completing the task, the expected due date, and when it was completed	USAID/DC	USAID/Mission	Coordinator	Local Consultant	Team Lead	Team Members	Date Due	Date Completed
Team members review assigned module(s) and prepare lists of documents needed and potential interviewees								
The assessment coordinator compiles needed documents and facilitate translation as needed								
Compile Component 1 data (provide on CD)								
Complete Core Module								
Review background document and initiate Component 2 (desk study)								
Request organizational charts for central level MOH and relevant departments; each team member should identify departments relevant to their module and provide the information to the assessment coordinator								
Logistics/other preparations								
Contract local consultant, if needed; assign responsibilities								
Prepare contact list								
Prepare interview schedule								
Make travel arrangements								

<i>Indicate who will be responsible for completing the task, the expected due date, and when it was completed</i>	USAID/DC	USAID/Mission	Coordinator	Local Consultant	Team Lead	Team Members	Date Due	Date Completed
Identify local travel options—select location and date								
Identify participants for stakeholder workshop; set time and date and send invitations; reserve room; work with Mission to coordinate and set agenda								
Hire translators								
Hire drivers								
Materials for travel: memory sticks, flip charts, markers, name tags, paper, portable printer								
Field work								
Week 1								
Meet with team and participate in team planning meeting								
Confirm or re-schedule interviews								
Daily: Team members review data collected and identify gaps; identify additional interviews required, if any, and schedule with consultant; document names/titles of all people interviewed.								
Collect additional information needed to complete Component 2 through document review and interviews								

Indicate who will be responsible for completing the task, the expected due date, and when it was completed	USAID/DC	USAID/ Mission	Coor- dinator	Local Consultant	Team Lead	Team Members	Date Due	Date Completed
Using SWOT analysis and root cause methodologies (in Chapter 4), map possible interventions/reforms to address weaknesses identified in assessment.								
Prepare preliminary analyses and draft relevant sections for the Country Health Systems Assessment Report, including recommended potential activity areas and interventions								
Week 2								
Daily: Team members review data collected and identify gaps								
Work on draft report								
Schedule and conduct follow-up interviews as needed								
Liaise with USAID PHN officer as needed to prepare for the stakeholder workshop and other activities								
Prepare and conduct stakeholder workshop								
Request feedback from a designated reviewer on draft report								
Ongoing								

<i>Indicate who will be responsible for completing the task, the expected due date, and when it was completed</i>	USAID/DC	USAID/Mission	Coordinator	Local Consultant	Team Lead	Team Members	Date Due	Date Completed
Liaise with any in-country program personnel to share and discuss findings								
Travel to one provincial area may be required								
Post-field work								
Finalize relevant sections for the Country Health Systems Assessment Report, including recommendations, based on input from the stakeholder workshop and mission staff								
Schedule/conduct any requested debriefing meetings								
Distribute report in some form--print /CD version								

Annex 3E. Sample Team Planning Meeting Agenda

Angola Team Planning Meeting July 18, 2005

Objectives

- Clarify roles/responsibilities, including assignment of modules
- Agree on schedule/SOW while in Angola
- Agree on role of team leader
- Discuss how to work together

Opening, introductions, overview of day; guidelines for working together

What are you looking forward to in-country:

- Completed a good job
- The team has identified strengths and weaknesses for the Mission
- Testing the new tool in the country

Expectations:

- Help team feel more comfortable with the process and workload
- Have a plan for next two weeks before Angola trip
- Get clarity about specific—report, workshop, day-to-day schedule
- Sorting out R&R, making it useful—who, how, methods
- Define my role, know what to include in report
- How people in PHRplus/HQ can help team

Guidelines for working together:

- Stay focused on topic
- Keep time—assign time checker
- Seek closure today; while in-country be comfortable with not having definitive answers to all questions
- Develop action points/to-do list

Update on current status of activity

Roles and responsibilities for preparation of report

Draft Report Writing Assignments:

Chapter	Author(s)	Page Length	Due Date
1. Executive summary			
2. Background			
3. Overview of country's health system			
4. Methodology			
5. Strengths and weaknesses of the health system			
5.1. Stewardship			
5.2. Health financing			
5.3. Human resources and health facilities			
5.4. Private sector engagement			
5.5. Pharmaceuticals and supplies			
5.6. Health information systems			
6. Summary			
7. Options for USAID			
8. Conclusions/executive summary/next steps			

Annex 3F. Sample List of Background Documents—Desktop Review for Azerbaijan Assessment

AZERBAIJAN DOCUMENT LINKS (2000-2005)

USAID/U.S. Government

USAID Country Profile: Azerbaijan

http://www.usaid.gov/locations/europe_eurasia/countries/az/azerbaijan.pdf

USAID/Caucacus/Azerbaijan PHC Assessment (2005)

http://pdf.dec.org/pdf_docs/PNADC991.pdf

USAID Azerbaijan Annual Report (2005)

http://pdf.dec.org/pdf_docs/PDACD919.pdf

USAID Azerbaijan Health Statistical Report (2004)

http://pdf.dec.org/pdf_docs/PNADC004.pdf

State Department Background Notes, Azerbaijan (October 2005)

<http://www.state.gov/r/pa/ei/bgn/2909.htm>

World Bank

World Bank (WB) Health Sector Assessment (2005)

http://www-wds.worldbank.org/servlet/WDS_IBank_Servlet?type=AllWords&all=31468&ptype=sSrch&pcont=results&sortby=D&sortcat=D&x=10&y=5

International Monetary Fund (IMF)/WB Azerbaijan Country Report on Millenium Development Goals (2003)

<http://www1.worldbank.org/prem/poverty/strategies/cpapers/cr04322.pdf>

IMF/WB Assessment of Poverty Reduction Strategies (2004)

<http://www.imf.org/external/pubs/ft/scr/2004/cr04323.pdf>

WB Country Procurement Assessment Report (2003)

http://www-wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/2003/09/30/000112742_20030930122244/Rendered/PDF/267780AZ.pdf

WHO/UN System

EURO/WHO report: Health Care Systems in Transition Azerbaijan (2004) by John Holley

<http://www.euro.who.int/Document/E84991.pdf>

UNICEF Multiple Indicator Cluster Survey Azerbaijan Assessment report and data tables (2000)

<http://www.childinfo.org/MICS2/newreports/azerbaijan/azerbaijan.htm>

UN Economic Commission for Europe Azerbaijan Environmental Performance Review (2003)
<http://www.unece.org/env/epr/studies/azerbaijan/welcome.htm>

UNICEF Micronutrient Deficiency briefing paper (no date)
<http://www.micronutrient.org/VMD/CountryFiles/AzerbaijanDAR.pdf>

UNICEF Child Protection Systems in Azerbaijan Report (2005)
http://www.unicef.org/azerbaijan/AZ_ChildProtection_map_report.doc

Azerbaijan Government/NGO/Background

Azerbaijan Development Gateway (no date)
<http://www.gateway.az/eng/webdir/health.shtml>

Azerbaijan MOH portal (information on programs, donors, health statistics, etc.—no date)
<http://www.mednet.az/>

State Statistical Committee of the Azerbaijan Republic
<http://www.azstat.org/indexen.php>

Other

DevTech Gender Assessment (2004)
http://www.usaid.gov/our_work/cross-cutting_programs/wid/pubs/ga_azerbaijan.pdf

AIHA/Virginia Commonwealth University Azerbaijan Project Summary (2004)
<http://www.aiha.com/index.jsp?sid=1&id=966&pid=10>

Asian Development Bank National Immunization Program Financing Assessment (2002)
http://www.adb.org/Documents/Books/Natl_Immunization/AZE/azerbaijan.pdf

Asian Development Bank Azerbaijan Country Strategy and Program Update 2004-2006 (2003)
http://www.adb.org/Documents/CSPs/AZE/2003/CSP_AZE_2003.pdf

UMCOR Azerbaijan health program webpage (no date)
<http://gbgm-umc.org/umcor/ngo/azerbaijan/>

Transparency International Country Corruption Assessment: Public Opinion Survey (2004)
<http://www.transparency-az.org/files/25.pdf>

Organization for Security and Co-operation in Europe Assessment on Freedom in the Media (2005)
http://www1.osce.org/documents/rfm/2005/07/15783_en.pdf

Country Analytic Work website—Search for Azerbaijan documents
[http://www.countryanalyticwork.net/Caw/CawDocLib.nsf/vewAsiaPacific?SearchView&Query=FIELD%20Country%20CONTAINS%20%20"Azerbaijan"&Country=Azerbaijan&DocType=NULL&SearchOrder=4&SearchMax=5000&Start=1&Count=20](http://www.countryanalyticwork.net/Caw/CawDocLib.nsf/vewAsiaPacific?SearchView&Query=FIELD%20Country%20CONTAINS%20%20)

Annex 3G. Sample In-Country Interview Schedule

Health Systems Assessment team: Preliminary TDY schedule in Angola, August 2005

Sat	Sun	Mon	Tues	Wed	Thurs	Fri
<p>6</p> <ul style="list-style-type: none"> Team meeting with local consultant— 1:00 pm–5:00 pm To review— Interview schedule, documents collected, USAID meeting, getting information from local consultant, guidance for team as visitors 	<p>7</p> <p>Team meeting with Write-ups</p> <ul style="list-style-type: none"> — lunch 1:00 – 5:00 To review— Technical discussion on health systems strengthening (presentation) 	<p>8</p> <ul style="list-style-type: none"> Meeting with USAID: planning <p>Interviews Team check-in Write-ups</p>	<p>9</p> <ul style="list-style-type: none"> Send invitations for stakeholders workshop <p>Interviews Team check-in Write-ups</p>	<p>10</p> <p>Interviews Team check-in Write-ups</p>	<p>11</p> <p>Interviews Team check-in Write-ups</p>	<p>12</p> <ul style="list-style-type: none"> Meeting with USAID— Unanswered questions, guidance <i>Potential province visit</i> <p>Interviews Team check-in Write-ups</p>
<p>13</p> <ul style="list-style-type: none"> Final drafts of Ch. 4 by 1:00 1-5:00 Team meeting: analysis options for Mission 	<p>14</p> <ul style="list-style-type: none"> Optional team meeting Write up options: send to PHRplus to review (Sun pm or Mon am) 	<p>15</p> <ul style="list-style-type: none"> <i>Potential province visit</i> <i>Finish interviews</i> Reflect on how tool has worked (Mon or Tues) Afternoon free 	<p>16</p> <ul style="list-style-type: none"> AM: PHRplus feedback on report to team Design stakeholder workshop 6:00 pm conference call with PHRplus 	<p>17</p> <ul style="list-style-type: none"> Briefing for USAID on options/stakeholder workshop, review of draft report 	<p>18</p> <ul style="list-style-type: none"> Prepare for stakeholder meeting 	<p>19</p> <ul style="list-style-type: none"> Stakeholder meeting
<p>20</p> <ul style="list-style-type: none"> Write-up results of workshop Reflect on how tool has worked Send latest draft of report to Mission before departure 						

Annex 3I. Sample Stakeholder Workshop Agenda

Stakeholder Workshop Agenda Health Systems Assessment: Angola Stakeholder Workshop

Date: Friday, August 19, 2005 8:30 – 13:00

Venue: Hotel Tropico, Luanda

Purpose: gather stakeholders that seem critical to the success of the options on the table / impacted by the results; get their buy-in; get their feedback and reactions on findings and recommendations.

Objectives:

By the end of the day participants will have:

- Reviewed and discussed team’s major findings
- Provided input on their priorities, based on strengths and weaknesses discussed
- Provided input into recommendations and identify how they will/can be involved in implementing concrete options; how to move forward OR provided feedback and recommendations on major options presented by team

Participants: (maximum 30 people)

- USAID, MOH, Donors, private sector, NGOs

Preliminary Workshop Agenda

Time	Topic	Responsible	Materials
8:30	Coffee/registration		Registration sheet
9:00	Welcome	USAID/MOH	
9:30	Introductions and expectations, overview of objectives and agenda, guidelines for working together		Handout of agenda and objectives Guidelines (pre-prepared)
10:00	Overview of methodology, results and recommendations <ul style="list-style-type: none"> • Highlight key findings • Present suggested recommendations • Q&A/discussion 		Presentation(s) Handouts of slides, write-up of options
10:45	Coffee break		
11:00	Small group discussion: go over recommendations and discuss applicability and feasibility in Angola		Questions for discussion
11:45	Reports from small groups – 10 min each per group		
12:30	Summarize	Team	
12:45	Closing comments	USAID	
1:00	Workshop evaluation. Adjourn for Lunch		Evaluation form

Small Group Discussion Questions

Looking at the strategies listed on the four last slides:

1. Which would be the three principal strategies that you would recommend?

2. How could your organization collaborate with USAID in these areas?
3. What would be your advice to USAID as it begins to work on strengthening the health system?

Workshop Handouts:

- Sign-in registration
- List of participants and contact information
- PowerPoint presentation handouts
- Write-up of options or strategies – 1 page in Portuguese
- Arrange for LCD projector and flipcharts
- Evaluation form
- Guidelines for small group discussions
- Objectives and agenda
- Paper/pens, workshop name and dates

Annex 3J. Suggested Outline for Final Assessment Report

Executive Summary

1. Background (2-3 pages)

Context—why was the assessment carried out and with what purpose?

2. Overview of health system (3-5 pages)

Core module should be used to prepare this chapter.

Basic description of the nature of the health system, focusing on—

- 2.1 Macroeconomic and political context
- 2.2 Epidemiological profile including key health indicators and causes of top mortality and morbidity
- 2.3 Bureaucratic structures in-country (including decentralization)
- 2.4 Structure of health service delivery system
- 2.5 Health financing – profile and structure
- 2.6 Donor activities and gaps
- 2.7 Key stakeholders in the health system (including some discussion of the role of the private sector, whether there is any social health insurance, etc.)
- 2.8 Business environment and investment climate, particularly as it affects for private health care

No more than a couple of paragraphs on each of the subjects above (5 pages total)—to be drafted in advance of trip. Where possible, differences across provinces/regions should be highlighted.

3. Methodology (2 pages)

- 3.1 Framework for the health systems assessment approach
- 3.2 Description of tool and how it was used

4. Strengths and weaknesses of the health system (5-10 pages for each module)

- 4.1 Governance
- 4.2 Health financing
- 4.3 Service delivery
- 4.4 Human resources
- 4.5 Pharmaceutical management
- 4.6 Health information systems
- 4.7 Summary of findings (5–10 pages)

See Chapter 4

Recommendations

4.8 Priority interventions based on the assessment

Drawing upon Chapter 4 this subsection should propose interventions that USAID might consider supporting to address health system weaknesses. For each recommendation, should discuss the relative time and cost involved.

4.9 Stakeholder views on the priority intervention areas

This should be based upon the workshop discussions and interviews with donors, government, and other stakeholders, and should give some broad view of (1) what is already being done by other stakeholders and how USAID might complement or supplement their activities, and (2) what type of interventions there is political support for. Also, what can local stakeholders take responsibility for or assist with? What are next steps or potential action plan?

5. Conclusions

This section should identify key issues that were identified as part of the assessment, responses to them by USAID and counterparts. It should also summarize the next steps that can be expected as discussed by the various stakeholders.

Annex A

Contact list

Annex B

List of documents consulted

Annex C

Stakeholder workshop agenda

Annex D

Stakeholder workshop presentation

Annex 3K. Outline of Assessment Report from Pilot Test in Angola

Angola Health System Assessment (full report included electronically on CD that accompanies this manual or available for download at www.healthsystems2020.org)

ACRONYMS

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3.1 Framework for the Health Systems Assessment Approach

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4. STRENGTHS AND WEAKNESSES OF THE ANGOLAN HEALTH SYSTEM

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4.1.2 Health Information Capacity

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4.1.4 Policy Formation and Planning

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4.1.6 Accountability

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4.5 Pharmaceutical Sector

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4.5.2 Drug Procurement at the PHC Level: The National Essential Drug Program

4.5.3 Drug Procurement at the Hospital Level

4.6 Health Information Systems

4.6.1 Health Information Resources, Policies, and Regulations

4.6.2 Data Availability and Quality

4.6.3 Data Analysis

4.6.4 Use of Information for Management

4.7 Summary of Findings

4.7.1 Strengths

4.7.2 Weaknesses

4.7.3 Opportunities

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ANNEX B: CONTACT LIST

ANNEX C: GROUP DISCUSSION WITH NGOS

ANNEX D. STAKEHOLDER WORKSHOP AGENDA

ANNEX E. HANDOUTS FOR OVERVIEW OF HEALTH SYSTEMS STRENGTHENING

ANNEX F. DONOR HEALTH PROGRAMS IN ANGOLA

ANNEX G. MAP OF MOH STRATEGY AND DONOR INPUTS (OTHER THAN USAID)
FOR HEALTH SYSTEM STRENGTHENING

ANNEX H. COMPARATIVE INDICATORS FOR ANGOLA AND SSA

ANNEX I. 2005 CONTENTS OF THE THREE TYPES OF DRUG KITS PROVIDED UNDER
THE NATIONAL ESSENTIAL DRUG PROGRAM (NEDP)

ANNEX J. STAKEHOLDER WORKSHOP PRESENTATION

Annex 3L. Outline of Assessment Report from Pilot Test in Benin

Benin Health System Assessment—*Rapid Assessment of the Health System in Benin, April 2006*
(full report included electronically on CD that accompanies this manual or available for
download at www.healthsystems2020.org)

ACRONYMS

ACKNOWLEDGMENTS

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- Major Causes of Morbidity and Mortality

SECTION 3: OVERVIEW OF THE HEALTH SYSTEM IN BENIN

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- Decentralization and Organization of Service Delivery

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- Pharmaceutical Management
- Health Information Systems
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