Human Resource Capacity Development in Public Health Supply Chain Management:

Assessment Guide and Tool

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Cover Photo: Andualem Tessema, storekeeper at Bussa Health Center, provides on-the-job training for Megertu Birhanu, a health extension worker at Yebu Health Post in Ethiopia. USAID | DELIVER PROJECT, 2011.

Contents

Acronyms

AIDS	acquired immune deficiency syndrome
ARV	antiretroviral drugs
CBD	community-based distributor
DFID	Department for International Development
HIV	human immunodeficiency virus
HR	human resources
HRCD	Human Resource Capacity Development
HRH	Human Resources for Health
HRIS	Human Resource Information System
HRM	human resource management
IAPHL	International Association of Public Health Logisticians
IST	in-service training
IT	information technology
JSI	John Snow, Inc.
LMIS	logistics management information system
M&E	monitoring and evaluation
MOH	Ministry of Health
NGO	nongovernmental organization
PHSCM	Public Health Supply Chain Management
PEPFAR	President's Emergency Plan for AIDS Relief
PPT	PowerPoint
PST	pre-service training
PtD	People that Deliver
RH	reproductive health
SC	supply chain
SCM	supply chain management
SDP	service delivery point
SOP	standard operating procedure
TB	tuberculosis
UN	United Nations
USAID	U.S. Agency for International Development
WHO	World Health Organization

Acknowledgments

SECTION 1
Introduction to the Assessment

- *Background*
- *Human Resource Capacity Development
  in Public Health Supply Chain Management*
- *Purpose of the Guide*
- *Purpose of the Assessment*
- *Assessment Process*
- *Assessment Tool*
- *Assessment Outputs*

Background

An essential component of a robust health system is an effective supply chain which provides health workers and clients with vital public health commodities. To run effectively, a public health supply chain requires a sufficient number of motivated staff with the competency required to fulfill essential supply chain functions; they must also be empowered to make decisions that positively impact health supply availability and supply chain operations.

However, in 2006, the World Health Report identified 57 countries facing a health workforce crisis (WHO 2006). The World Health Organization (WHO) reported that these countries averaged fewer than 23 health workers (doctors, nurses, midwives) per 10,000 people resulting in diminshed capacity to serve the health needs of clients. As such, WHO identified health workforce performance as one of the six building blocks essential to strengthening health systems. In March 2008, the First Global Forum on Human Resources for Health reiterated this call to strengthen the health workforce, as did the United Nations (UN) Secretary General when he launched his Global Strategy for Women's and Children's Health highlighting the need for stronger health systems, including sufficient skilled health workers at its core.

Insufficient amounts of adequately trained and/or motivated personnel is often the cause of supply chain system breakdowns and poor system performance as well, which is often demonstrated with product stockouts. This is compounded by a lack of recognition among many health institutions of the vital role supply chain personnel play in the performance of health systems. To respond to widespread and systemic weakness within the management of supply chain human resources, a broad group of governments and organizations developed a joint initiative, People That Deliver (PtD). PtD's mandate is to strengthen the capacity of supply chain personnel while promoting the professionalization of the supply chain role within the health system. The USAID | DELIVER PROJECT developed the *Human Resource Capacity Development in Public Health Supply Chain Management (HRCD in PHSCM): Assessment Guide and Tool* in association with this global initiative to identify opportunities and challenges associated with the human resource capacity development and management of supply chain personnel. Data collected through this assessment is expected to strengthen supply chain personnel capacity by informing host country efforts to build applicable human resource systems and advocate for the professionalization of supply chain management. By strengthening the capacity of public health supply chain personnel, both supply chains and, ultimately, health systems, will operate more effectively; thus ensuring clients have improved access to lifesaving health supplies.

The approach presented in this guide is a structured, rating-based methodology designed to provide a rapid, comprehensive assessment of the capacity of the human resource support system for a country's supply chain. Data are gathered from a document review, focus group discussions, and in-country stakeholder interviews to identify the strengths, areas for improvement, opportunities, and challenges for a wide range of human resource inputs and components. The findings are transformed into specific recommendations and strategies for action based on an understanding of country priorities and programming gaps.

Human Resource Capacity Development in Public Health Supply Chain Management

Defining Human Resource Management

Human resource management is the practice of integrating procedures, policies, and practices to recruit, develop, and maintain employees who are needed by an organization for it to meet its goals. Robust human resource management is defined by a strategy that enables an organization to systematically address the dynamics of the health workforce across the working lifespan—from entry, to development and performance, and then exit. By clearly defining each employee's

responsibilities as they link to an organization's mission and building the policies and systems needed to enable those responsibilities, human resource capacity management can increase the capacity of an organization.

Human resources are a key performance driver within supply chains as well (see figure 1). Therefore, the effective management of a supply chain demands excellence in managing its human resources. By proactively managing plans, polices, and procedures associated with people, an organization can expand operations that sustain supply chain performance.

Figure 1. Impact of Human Resources on Supply Chain Performance

Human Resource for Health Building Blocks

Human resource management for health is comprised of five foundational components, or human resource for health (HRH) building blocks, as developed by CapacityPlus (CapacityPlus 2011) and modified by the USAID | DELIVER PROJECT. These HRH building blocks are:

- **Building Block 1—Build Powerful Constituencies.** Constituencies, or stakeholders, who provide technical leadership and advocacy in the field of supply chain management (SCM), as well as human resource management.

- **Building Block 2—Optimize Policies and Plans.** Policies, plans, and associated standard operating procedures (SOPs) that support human resource capacity development and management, including financing and human resource information systems (HRIS).

- **Building Block 3— Develop Workforce.** Initiatives that focus on identifying and building a robust workforce, including recruiting, competency modeling and development, and pre-service and in-service education.

- **Building Block 4—Increase Workforce Effectiveness or Performance Management.** Initiatives that identify and enhance workforce performance, including retention, supervision, mentoring and coaching, and task shifting.

- **Building Block 5—Professionalization of Supply Chain Management.** A process used to make or establish supply chain roles, or set of responsibilities or competencies, as a profession.

Figure 2. Human Resources for Health Building Blocks

CapacityPlus framework adapted by USAID | DELIVER PROJECT

These building blocks provide a comprehensive approach to assessing and managing human resources. Together, they inform the most effective ways to attract, motivate, develop, and retain new and existing talent needed to expand supply chain performance. These building blocks are the foundation of this assessment.

Purpose of the Guide

The purpose of this guide is to describe how the *HRCD in PHSCM Assessment* should be implemented. This document proposes a process for implementing the assessment and describes how to use the assessment data collection tool. It also provides tools and templates which can be used in the implementation of the data collection tool, including a training curriculum which can be used to train an assessment team on how to use the tool.

Organization of the Guide

The guide is organized according to the assessment process and it is built around six sections:

1. **Introduction to the Assessment.** Describes the assessment approach and building blocks as well as the general underlying theory of human resource management for health as it impacts supply chain management.

2. **Assessment Tool and Process.** Provides a detailed description of the assessment tool and each step in the assessment process.

3. **HRCD for PHSCM Assessment Tool.** Provides the data collection tool, including references to relevant data collection resources.

4. **References.** Reviews resources used to write this guide and provides suggested materials for additional research.

5. **Templates.** Provides supplemental materials (templates and tools) that the assessment team may need for any or all phases of the assessment.

6.   **HRCD for PHSCM Assessment Tool Training Materials.** Provides curriculum for training an assessment team on how to use the assessment tool.

Users of the Guide

Stakeholders can use this guide in many different ways:

- **Funders.** Funders can use this guide to determine whether the assessment will provide them with the human resource for supply chain information they need and, if it does, how to adapt the assessment tool and process to their specific country context. It will also help them determine required resources needed for implementation.

- **Government organizations (e.g., Ministry of Health [MOH]).** Governmental organizations can use this guide as a reference tool for understanding HRH building blocks. Ministry staff can also use the guide to decide if the assessment offers the information they need and, if it does, how to adapt the assessment tool and process to their specific country context.

- **Assessment team leaders and members.** Assessment teams should use this guide to implement the assessment. Provided templates, reference materials, draft schedules, and guidance are designed to assist them in the planning, implementation, and synthesis of the assessment.

For all stakeholders, this guide can help clarify the required resources, level of effort, and timing the assessment will require. It will also help shape the data collection tool and process.

Purpose of the Assessment

The *HRCD in PHSCM Assessment* is designed to gather the data needed to accomplish the following:

- Document the capacity of a country's public health supply chain human resource management

- Identify where and how to improve supply chain performance through the effective human resource management of supply chain personnel

- Document professionalization efforts of personnel working across a country's public health supply chains.

Key to building capacity is deciding where to focus activity, time, and budget. An effective supply chain human resource management strategy, as defined in figure 1, does this by defining a strategic set of initiatives critical to building the capacity of supply chain professionals required for the overall success of an organization or system. To define initiatives, data is essential and this assessment gathers that critical information.

The approach presented in this guide is most useful in countries when one or more of the following conditions apply (Health Systems 20/20 2012):

- The MOH and other stakeholders are beginning a strategic planning process and findings will contribute to or inform the country strategic plan.

- The country is applying for funding and findings will contribute to or inform their project's design, work plan, or both.

- The country would like to use the results to advocate for creating critical positions that will improve the performance of the supply chain.

- The country would like to monitor the effect of specific interventions related to human resource for public health supply chain management.

- The country would like to compare its supply chain human resource management capacity with other countries or different supply chains within the country.

Assessment Process

Using an evaluative process, this assessment is designed to gauge how well a human resource system functions and its contribution to overall supply chain performance. Comprised of four phases: scope, build, collect, and analyze and report, this process provides a flexible approach for determining the current status of and informing recommendations for strengthening the human resource development and management capacity within a specific supply chain context.

The assessment approach and phases are summarized in figure 3. These phases are described in greater detail in section 2 of this guide.

Figure 3. HRCD for PHSCM Assessment Process

Phase 1:
Scope Assessment

Phase 2:
Build Assessment
Process and Tool

Phase 3:
Collect Data

Phase 4:
Analyze Data and
Report Findings

- Develop scope
- Build team
- Engage stakeholders

- Review documents
- Define assessment process
- Build data collection plan
- Adapt data collection tool and methodology

- Collect data
- Validate data

- Analyze data
- Develop and validate findings and recommendations
- Develop and report findings and recommendations

It is important to involve in-country stakeholders in each assessment step—from planning the work through conducting the assessment to disseminating and validating findings and recommendations. Engaging stakeholders is discussed further in this guide as well.

It will take approximately five weeks to complete the assessment, including three weeks in-country.

Assessment Tool

As noted, the assessment examines human resource capacity development and management within supply chains across five HRH building blocks: (1) build powerful constituencies, (2) optimize policies and plans, (3) develop workforce, (4) increase workforce effectiveness or performance management, and (5) professionalization of supply chain management. To gather the requisite data, a data collection tool has been developed. This tool is multi-pronged and it is used to determine the level of development, or maturity, for assessed human resource systems, policies, and procedures that impact supply chain management.

The assessment tool has four components—

- **Component 1—Reference Document Review.** Reviews relevant reference materials and documents to develop an understanding of the supply chain and human resource capacity development and management environment.

- **Component 2—Public Health Supply Chain Profile.** Creates a profile of the assessed supply chain environment and processes.

- **Component 3—Diagnostic Dashboard.** Evaluates the level of development of each HRH building block.

- **Component 4—Supplemental Survey.** Provides detail and context, as needed, to supplement the *Diagnostic Dashboard. This component is optional.*

Depending on the objectives, an assessment may collect data across all HRH building blocks, or it can focus on selected HRH building blocks.

These components are flexible and should be modified and used in accordance with the overall assessment objectives.

The full data collection tool and templates are found in section 3 of this guide and can be downloaded in soft-copy form for adaptation here: http://deliver.jsi.com/dhome/whatwedo/capbuilding.

Assessment Outputs

The assessment process is designed to determine the level of development, or maturity, of each HRH building block included in the assessment as well as associated strengths, weaknesses, opportunities, and challenges. Findings are used to develop a set of recommendations for each HRH building block. These recommendations are designed to mature HRH building blocks from the assessed level to the next in order to, ultimately, expand supply chain performance.

Data from the assessment also provides baseline data against which future assessments can be conducted to measure progress. As such, the assessment team should consider future follow-up assessments and long-term data needs when refining the data collection tools to the needs of the assessment.

SECTION 2
Tool and Process

Human Resource Capacity Development
for PHSCM Assessment Tool
- *Tool Component 1 – Reference Document Review*
- *Tool Component 2 – Public Health Supply Chain Profile*
- *Tool Component 3 – Diagnostic Dashboard*
- *Tool Component 4 – Supplemental Survey*

Human Resource Capacity Development
for PHSCM Assessment Process
- *Phase 1 – Scope Assessment*
- *Phase 2 – Build Assessment Process and Tool*
- *Phase 3 – Collect Data*
- *Phase 4 – Analyze Data and Report Findings*

Human Resource Capacity Development for Public Health Supply Chain Management Assessment Tool

HRCD for PHSCM Assessment Tool has four components. Each component is designed to gather a specific data set and, together, this data is used to determine the development of each HRH building block. These four components are:

- **Component 1—Reference Document Review.** Reviews relevant reference materials and documents to develop an understanding of the supply chain and human resource capacity development and management environment.

- **Component 2—Public Health Supply Chain Profile.** Creates a profile of the assessed supply chain environment and processes.

- **Component 3—Diagnostic Dashboard.** Evaluates the level of development of each HRH building block.

- **Component 4—Supplemental Survey.** Provides detail and context, as needed, to supplement the *Diagnostic Dashboard. This component is optional.*

These components are designed to ensure that data are collected in a consistent manner to enhance the accuracy, validity, and reliability of findings.

"How-to" instructions describing the process for using each component to collect data are detailed in this section of this guide.

The full data collection tool and templates are found in section 3 of this guide and can be downloaded in soft-copy form for adaptation here: http://deliver.jsi.com/dhome/whatwedo/capbuilding.

Figure 4. HRCD for PHSCM Assessment Data Collection Tool

Tool Component 1—Reference Document Review

The first component of the assessment tool is a *Reference Document Review.* The assessment team should begin the assessment process by collecting reference, or background, materials that will be used to develop an understanding of the larger context in which supply chain personnel operate. Consider reviewing the following reference materials:

- national or other health strategic plans

- national or other supply chain strategic plans

- national or other human resource and/or human resource for health strategic plan

- supply chain–relevant competency models

- job descriptions

- applicable pay scales/bands

- supply chain certification policies and/or programs

- HR management tools

- funding levels and sources for human resource management initiatives

- pre- and in-service training curricula

- supply chain organizational charts and systems/process maps.

The assessment team should also review recently conducted related assessments to ensure that this assessment does not duplicate those studies.

Documents should be gathered, reviewed, and synthesized prior to the initiation of data gathering. Conducting a thorough review of background materials is essential to understanding the supply chain context so that the *HRCD for PHSCM Assessment Tool* can be properly adapted to the assessment environment, objectives, and recommendations. A reference document review will also ensure that recommendations are informed by and relevant to the impacted supply chain.

Each document must be properly cited in the references section of the assessment report to ensure that the information can be verified later, if needed.

Tool Component 2—Public Health Supply Chain Profile

The *Public Health Supply Chain Profile* is the second component of the assessment tool. It is a paper-based survey tool which is distributed to key informants in order to gather data needed to create a profile of the supply chain(s) being included in the assessment. This profile will describe the supply chain impacted by the assessed human resource capacity development and management environment and guide the adaptation of the assessment tool. It will also inform the assessment baseline.

If a host country has a single supply chain or the human resource management environment for only one supply chain is being assessed, then only one profile needs to be created. However, if there are multiple supply chains or multiple supply chains being assessed, create a unique profile for *each* supply chain included in the assessment.

The *Public Health Supply Chain Profile* can be found in section 3 of this guide and can be downloaded in soft-copy form for adaptation here: http://deliver.jsi.com/dhome/whatwedo/capbuilding.

Tool Component 3—Diagnostic Dashboard

The *Diagnostic Dashboard* is the third component of the assessment tool. It is an Excel-based rating tool and it is used to define the stage of development, or maturity, of each HRH building block. Collected data are used to inform recommendations with the intention of advancing HRH building blocks to the next development stage in order to strengthen the human resource management of supply chain personnel in ways that positively impact supply chain performance.

To determine the development stage of each HRH building block, they are broken down into dimensions. Each dimension represents an aspect of a given HRH building block. Dimensions are rated on a "development stage" scale of 0 to 4, where 0 means that a dimension does not exist and 4 means that the dimension is fully developed (see table 1).

Table 1. HRCD for PHSCM Assessment Diagnostic Dashboard Rating Scale

Development Stage	Development Stage Definition
0	Dimension does not exist.
1	Dimension is being developed and/or exists but is outdated or inappropriate for current system requirements.
2	Dimension is developed but not consistently or uniformly applied.
3	Dimension is fully developed and has stakeholder support, but lacks requisite funding.
4	Dimension is developed and consistently and uniformly applied with full funding and stakeholder support, as appropriate.

Each HRH building block has a unique worksheet in the Excel-based *Diagnostic Dashboard* where data collectors assess and record the development stage of each HRH building block dimension using the established rating scale as displayed in table 1. To determine the development stage, the assessor leads respondent(s) through a 4-step process:

Figure 5. Diagnostic Dashboard Data Collection Steps

Step 1	Step 2	Step 3	Step 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage

- **Step 1: State "HRH Building Block Dimension".** As noted previously, each HRH building block is comprised of individual descriptive dimensions. Dimensions are indicators which together make up the larger HRH building block. The assessor states the HRH building block dimension to the respondent(s).

- **Step 2: Read "Definition of 'Fully Developed'".** Each HRH dimension has a definition for what it means to be "fully developed". It is against this definition that each dimension is scored on a 0 (dimension does not exist) to 4 (dimension is fully developed) scale. The assessor reads the definition of "fully developed" to the respondent(s) so that s/he or they can use the rating scale to select the rating that best describes how well the dimension meets that definition.

- **Step 3: Confirm Development Stage Using "Sample Questions for Determining Score".** To ensure that respondents select the appropriate score, each dimension has additional validation questions. Respondents are asked these questions to provide him/her/them an opportunity to thoroughly discuss the dimension and appropriately assign the development stage.

- **Step 4: Determine "Development Stage".** Based on the rating scale provided in table 1 and in relation to that dimension's definition of "fully developed," each dimension is rated from 0 to 4. The score is inputed into the Excel file.

Development stages for each unique HRH building block dimension are automatically aggregated by HRH building block and displayed in a dashboard (see figure 6) as they are inputed into the "Step 4" column of the Excel file. The main graph in the Excel file is a dashboard; it is a "petal" graph. This graph gives an overview of each supply chain HRH building block at a macro level by displaying the relative level of completion of the building block in distinct, colored petals. The size of the petals represents the degree of development of the HRH building block. If the dimension is missing or undeveloped (score = 0),

that dimension will be white on the dashboard. If the dimension is complete or fully developed (score = 4), the dimension will be fully colored on the dashboard. If a dimension is in development (score = 1, 2, or 3), then the dimension will be partly colored.

Figure 6. Diagnostic Dashboard

Data can be gathered at different levels within the supply chain. After the data are gathered, data from within a given level are aggregated so that each HRH dimension and each HRH building block has a *single score per level*. It is important to note, however, that ratings from different levels within the supply chain are *not aggregated*. Although some findings and subsequent recommendations may apply to the entire supply chain human resource system, each level should retain its own rating because findings and recommendations can and will vary, depending on the level within a supply chain. Thus each level within the supply chain which is included in the assessment will have a unique dashboard.

The *Diagnostic Dashboard* is also accompanied by a set of survey questions which have been developed for each HRH buidling block. These questions can be found in section 3 of this guide. Questions are designed to gather the necessary contextual data for a given HRH building block and should be asked at the same time that development stages are scored.

The *Diagnostic Dashboard* Excel tool can be found in section 3 of this guide and can be downloaded in soft-copy form for adaptation here: http://deliver.jsi.com/dlvr_content/resources/allpubs/guidelines/hrcd_scm_assess.xlsx. The

accompanying Word portion is also found in section 3 of this guide and can be downloaded here. http://deliver.jsi.com/dhome/whatwedo/capbuilding.

Tool Component 4—Supplemental Survey

Tool Component 4 – Supplemental Survey is the final component of the data collection tool. The supplemental survey is used to gather additional detail for specific dimensions. It is are an *optional* component of the data collection tool.

The *Supplemental Survey* can be found in section 3 of this guide and can be downloaded in soft-copy form for adaptation here: http://deliver.jsi.com/dhome/whatwedo/capbuilding.

Human Resource Capacity Development in Public Health Supply Chain Management Assessment Process

The *HRCD in PHSCM Assessment* is implemented in four phases. Each phase has specific activities and outputs which support the overall assessment goal of gathering data needed to—

* document the capacity of a country's public health supply chain human resource management

* identify where and how to improve supply chain performance through the effective human resource management of supply chain personnel

* document professionalization efforts of personnel working across a country's public health supply chains.

Phases focus on scoping the assessment, building the assessment process and tool, collecting data, and then analyzing data and reporting assessment findings.

These phases are described in figure 7. Each phase is discussed in detail in this section.

Figure 7. HRCD for PHSCM Assessment Process

Phase 1: Scope Assessment
* Develop scope
* Build team
* Engage stakeholders

Phase 2: Build Assessment Process and Tool
* Review documents
* Define assessment process
* Build data collection plan
* Adapt data collection tool and methodology

Phase 3: Collect Data
* Collect data
* Validate data

Phase 4: Analyze Data and Report Findings
* Analyze data
* Develop and validate findings and recommendations
* Develop and report findings and recommendations

Phase 1—Scope Assessment

Thorough preparation is essential to the success of the assessment. Understanding the scope of the assessment, identifying the required inputs, and engaging stakeholders are key to preparation. These activities inform a framework which guide data collection and inform analysis; they constitute *Phase 1—Scope Assessment* (see figure 8).

Figure 8. HRCD for PHSCM Assessment Process—Phase 1

A sample checklist of tasks to be completed during the assessment is provided in the *Assessment Logistics and Responsibilities Checklist* (see section 5). Assessment teams can customize this checklist based on the priorities, resources, and time available.

Develop an Assessment Scope

A successful *HRCD for PHSCM Assessment* has a clear, feasible scope of work, agreed upon by both the client and the assessment team. Thus, the first step in implementing and developing the assessment is for the assessment team to collaboratively develop a scope with the client. A fully developed scope should include:

- **Purpose.** Identify how the assessment will contribute to established goals for the supply chain and associated human resource management policies and practices. The assessment purpose should reflect the priorities of the client and the assessment objectives. It will also define the level of cooperation the team will need from the sponsoring client and the types of outcomes the client expects from the assessment. A clearly articulated and specific purpose will guide the approach, data collection, and application of assessment findings to ensure that the end result is a strengthened supply chain.

- **HRH Building Blocks.** Identify the HRH building blocks to be included in the assessment. While it is recommended that all five HRH building blocks be included, all five are not required. HRH building blocks should be selected based on the overall purpose for conducting the assessment.

- **Levels of the Supply Chain.** Identify the levels of the supply chain to be included in the assessment (e.g., central, regional, district, facility). They should also be selected based on the expected outputs and intended application for the assessment, as well as where the supply chain authority lies. For example, if supply chain management lies at a regional or zonal level, and the assessment recommendations will strengthen human resources at that level, then those levels should be included in the assessment.

- **Timeframe.** Establish a timeframe for the assessment as well as deliverable submission dates. On average, the assessment takes approximately five weeks to complete, including three weeks in-country. This timeframe should be confirmed and modified, as appropriate.

- **Desired Skills of Assessment Team Members.** Describe the skills and skill levels required by assessment team members. Identify the number of assessment team members. If all five HRH building blocks are included in the assessment then a team of at least four to five members is recommended to ensure that all building blocks can be sufficiently assessed. The expertise of the team members, availability of data, and type and level of the final report requested should guide assessment staffing.

See section 5 for a sample scope of work.

After the scope of work is confirmed, the assessment team and client need to build a budget and allocate resources. To balance assessment priorities with budget realities, the budget is estimated early in the planning process.

Factors to consider when developing a budget include—

- funding available for the assessment

- dedicated amount of time away from each assessment team member's regular job and the associated costs

- how the various assessment funders will share the costs.

See section 5 for a sample budget.

Build the Assessment Team

Once a scope of work is developed, assessment team members are recruited. Assessors should have the skills and knowledge identified in the scope. The team should include representatives from the client (e.g., MOH) or other key stakeholders. This will ensure that staff possess some degree of ownership and are invested in the outcomes and capable of following up on assessment recommendations.

Once team members are identified and confirmed, assign roles and responsibilities.

See section 5 for a sample of a roles and responsibilities matrix.

Engage Stakeholders

Assessment success depends on stakeholder support and involvement. As part of developing the scope and preparing the assessment, the team should identify stakeholders and a plan for involving them. Stakeholders are at every level of the supply chain—including organizations outside the MOH. Stakeholders can and should represent a diverse population of all those who impact the supply chain being assessed, including—

- MOH, including: minister, key officials, logistics management unit

- other ministries (e.g., local government, finance, education, civil service) or health-related bodies

- donors (e.g., USAID, World Bank, Department for International Development [DFID], Global Fund to Fight AIDS, Tuberculosis and Malaria, WHO, other U.N. agencies)

- coordinating bodies or committees

- private sector organizations, multinationals, or national corporations involved in the supply chain

- professional associations, councils, and unions

- licensing bodies and regulatory commissions

- nongovernmental organizations (NGOs), representatives of civil society, religious/faith-based organizations

- academic or research organizations (e.g., schools of public health, institutes).

After stakeholders are identified, the team will define their involvement; which can include, but is not limited to, the following:

- **Shape the assessment.** Stakeholders can review the approach and outputs and offer input into the both as well as the data collection tool and methodology.

- **Participate in the team.** Stakeholders may be asked to participate as part of the assessment team.

- **Collect data.** Stakeholders may be asked to contribute data to the assessment.

- **Analyze the data and develop findings.** Stakeholders should verify assessment findings and recommendations and provide input on the feasibility and impact of identified recommendations.

- **Prepare and finalize the report.** Stakeholders should review and validate the final assessment report.

Throughout the assessment, it is essential that everyone works collaboratively with the client to scope, obtain quality data, and produce high-quality findings and recommendations that the ministry will accept and act on. Even if the assessment is funded or initiated by an NGO, country ownership—shown by MOH support—is essential if the assessment is to have a positive impact on the supply chain being assessed.

Compile Reference Materials

After the scope is confirmed, the assessment team should begin compiling reference materials on the country, supply chain, and human resource context by implementing *Tool Component 1: Reference Document Review*. As noted previously, this review will provide context for the assessment.

Key activities to complete during this task include—

- conducting a literature search

- requesting documents from the client and in-country contacts

- saving and distributing files/resources to the team members before the first team meeting

- preparing the reference list for the final report.

Develop Public Health Supply Chain Profile

In this phase, the assessment team should also distribute the *Public Health Supply Chain Profile* to key informants. As noted, the *Public Health Supply Chain Profile* provides the assessment team with an in-depth understanding of the supply chain being assessed. It also serves as a baseline against which progress can be measured. It should be distributed, collected, and consolidated into one master *Profile* prior to the initiation of the in-country assessment.

The deployment of the *Public Health Supply Chain Profile* constitutes the implementation of *Tool Component 2—Public Health Supply Chain Profile*. Key implementation activities include the following:

- Review the *Public Health Supply Chain Profile* to ensure that it is relevant to the assessment objectives

- Identify key informants to complete the *Public Health Supply Chain Profile*

- Collect completed *Profiles* and consolidate to create a final *Public Health Supply Chain Profile*.

Because assessment findings and recommendations should reflect all the stakeholders, a representative stakeholder group (including MOH, implementing partners, donors) can, and should, complete and/or review the *Public Health Supply Chain Profile*.

Phase 2—Build Assessment Process and Tool

After Phase 1 is complete, the assessment team begins *Phase 2—Build Assessment Process and Tool* (see figure 9). In this phase, the assessment team builds the data collection plan and tool.

Conduct Assessment Team Training Workshop

Once the initial preparation is complete, the assessment team should be trained in how to conduct the assessment. As part of the training, they will develop the data collection plan and build the data collection tool for this assessment. Both the data collection plan and the tool are described later in this section.

Before attending the workshop, each participant should receive copies of all the reference materials collected in preparation for the assessment. They are expected to review these documents before the training.

Orientation materials (assessment team training curricula and supporting materials) are located in appendices 2 - 4 of this document. They can also be accessed on the USAID | DELIVER PROJECT's website here: www.jsi.deliver.com. Search for "HR Assessment Training Materials".

Build Data Collection Tool

One of the primary outputs of the assessment team orientation is the development of a country-specific data collection tool. As noted previously, a data collection tool has four components:

- **Component 1—Reference Document Review.** Reviews relevant reference materials and documents to develop an understanding of the supply chain and human resource capacity development and management environment.

- **Component 2—Public Health Supply Chain Profile.** Creates a profile and organogram of the assessed supply chain environment and processes.

- **Component 3—Diagnostic Dashboard.** Evaluates the level of development of each HRH building block.

- **Component 4—Supplemental Survey.** Provides detail and context, as needed, to supplement the *Diagnostic Dashboard. Part or all of this survey is optional.*

Components 1 and 2 are completed in Phase 1. However, the assessment team should review the *Diagnostic Dashboard* and *Supplemental Survey* and confirm the use of all or selected questions that will produce the data needed to meet specific country assessment objectives. Selection should be based on—

- Scope and objective

- Reference review materials

- *Public Health Supply Chain Profile*

- Level of the system from which data is being collected.

Remember that those questions selected will be used to gather data that will provide both a baseline now and inform future assessments. Thus questions should be selected that can gather data which will be useful both immediately and in the future.

Build Data Collection Plan

A key activity during the *Phase 2—Build Assessment Process and Tool* is to design a data collection plan, which includes defining geographic focus, organizations, key informants, data collection methodology, and a schedule. As noted, the assessment team will define these components in the assessment team training workshop.

Figure 9. HRCD for PHSCM Assessment Process—Phase 2

As the assessment team builds the data collection plan, they should base all decisions on agreed-upon decision-making criteria. Suggested criteria could include assessment objectives, HRH building blocks assessed, supply chain assessed, and/or available people and financial resources.

Key data collection plan components include—

• **Geographic focus.** To ensure findings and recommendations are representative, data should be collected from a representative sample of geographic regions where the supply chains operate.

• **Organizations.** All stakeholder organizations impacted by and/or impacting human resource management for the supply chain should be surveyed.

Potential organizations include—

National/central level

• ministry of health and applicable other ministries

• logistics management unit

• human resource for health office

• central medical store

• quality assurance/drug authority

• port authority

• implementing partners working in a supply chain

• donors

• training program/institute offices

• professional associations

• private sector organizations involved in supply chain

Intermediate level (region, district, etc.)

- regional distribution centers or regional medical stores

- health management office

Service delivery points

- clinics and hospitals

- pharmacies

- laboratories

- **Informant list.** Identify informant(s) for each organization selected (inside and outside the supply chain). Select a wide variety of supply chain workers from each selected organization and from different parts of the supply chain (for example, a nurse with supply chain responsibilities, a pharmacist, a truck driver, a warehouse manager, a procurement specialist). To ensure data integrity, a diverse and knowledgeable informant list is essential. Look for information from multiple perspectives. Various parties may perceive the same situation differently; for many reasons, an individual informant may not perceive a situation accurately. For example, some informants may not know what is actually happening; or may only feel comfortable speaking about the ideal, or the way things should be. Therefore, it is important to verify the same facts in multiple interviews.

    Examples of possible key informants include—

    National/central level

    - MOH program managers and supply chain personnel

    - ministries of finance, education, planning, etc.

    - logistics management units personnel

    - human resource for health officer

    - central medical store personnel (managers of distribution, warehousing, HR unit, data analysts, finance)

    - quality assurance/drug authorities

    - donors

    - port authority/customs clearance authorities

    - training program/institute directors and staff

    - procurement agents or units/departments

    - implementing partners (commodity donation/technical assistance)

    - third party logistics staff/outsourced staff

    - information technology (IT) staff in the case of actual or proposed automated logistics management information system (LMIS) systems.

    Intermediate level (region, district, and others)

    - regional distribution centers or regional medical stores staff

    - health management office (program managers)

    - intermediate health facility store managers or program managers.

Service delivery points

- clinic and hospital managers

- nurses

- pharmacists

- laboratory managers.

Recommended positions of people to interview and to include in focus groups are also listed in the tool within each HRH building block *Diagnostic Dashboard* component. The *Diagnostic Dashboard* is located in section 3 of this guide.

Build Data Collection Methodologies

Two primary methods are used to gather data: interviews and focus groups. While both data collection methodologies utilize the same tool to gather human resource capacity development and management data, they allow different audiences opportunity to provide input at different levels of detail:

- **Interviews.** Interviews are usually with only one person. They allow assessment team members to gather very detailed information on, for example, a specific HRH building block or dimension and are particularly effective when soliciting information from an informant who is providing data which requires confidentiality.

- **Focus Groups.** A focus group is a group interview of approximately six to twelve people who share similar characteristics or common interests. They are useful when gathering data which is informed by group discussion and consensus. Groups can be organized in a variety of ways. For example, they may be organized by supply chain function with representatives from various facilities or by facility with various functions represented. They can focus on a single HRH building block, or they can collect data across blocks. Focus group discussions can also be held during a stakeholder workshop.

Informants for both collection methods are selected based on their knowledge of HRH building blocks and the supply chain being assessed. Data is collected using the *Diagnostic Dashboard* and, if desired, *Supplemental Surveys* for both methodologies and informants are expected –either as an individual in an interview or as a group in a focus group– to determine the development stage of each HRH building block dimension.

It may be appropriate to begin the data collection process by interviewing more senior informants. This will allow the assessment team to develop an initial understanding of supply chain human resource capacity development and management which can then be more effectively explored in a focus group setting. As previously noted, ideally, to ensure that data are both comprehensive and representative, conduct both interviews and focus groups at multiple levels and in multiple regions.

It may be useful to note in the assessment report who participated in the interviews and focus groups; particularly, include their roles and job titles. However, because the team may discuss sensitive issues, reporting participants' names may compromise the openness of the discussion and validity of information collected. At the beginning of each interview, the interviewer should ask the interviewee if they are comfortable with having their name used in the report. If they object, use the information given in the report, but do not use the person's name or identifying information. After the data collection session, participants should also be encouraged to respect one another's confidentiality.

Once informants are identified, the team should decide if data will be collected from them via an interview or a focus group or both, and then scheduled (see figure 10).

When scheduling, note that the assessment team can be divided into sub-teams, with each team assigned a region, level, or building block for conducting interviews and focus groups.

Protocols for conducting interviews and focus groups are provided in section 5.

Figure 10. Sample Assessment Schedule

	Day 1	Day 2	Day 3	Day 4	Day 5
Week 1	• Schedule team planning meetings • Schedule client meetings • Schedule stakeholder workshop				
Week 2	• Scope assessment • Confirm data collection schedule	• Confirm scope with client • Prepare data collection tool	• Conduct stakeholder workshop • Update data collection tool	• Gather data	• Gather data
Week 3	• Gather data	• Gather data	• Gather data	• Gather data	• Gather data
Week 4	• Review data and distill conclusions/recommendations	• Validate findings and recommendations with client	• Conduct stakeholder workshop	• Update recommendations; develop implementation plan	• Draft report
Week 5	• Complete report and submit to identified stakeholders for review • Finalize report and submit				

* Data analysis should be an ongoing process that begins as soon as data collection begins

The sample schedule assumes a three-week assessment period and data collection at multiple levels from within the supply chain. Both of these inputs can be modified depending on assessment objectives and the schedule would be similarly updated.

Phase 3—Collect Data

Once a data collection plan is approved, data collection begins with *Phase 3—Collect Data* (see figure 11). This multi-step phase includes a pre-assessment workshop to orient stakeholders to the assessment and solicit their support and the actual data collection.

Conduct Launch Workshop

The first step in *Phase 3—Collect Data* is to conduct a launch workshop to inform and solicit the support and participation of in-country stakeholders. For the assessment to succeed, stakeholders must understand why the assessment is taking place as well as any expectations that the team may have for them after the assessment is complete. Key workshop objectives include:

• Describe the impact of human resources on supply chain management

• Introduce the assessment tool objectives, HRH building blocks, and process

• Describe the role of stakeholders in the assessment

• Solicit stakeholder input and expertise on how to implement the assessment

• Ask for a commitment to post-assessment implementation of findings.

In partnership with the assessment sponsor or primary client, the assessment team leader plans the workshop(s). S/he should meet with the client to review workshop objectives, agenda, participant list, and logistics and solicit client support in the implementation of the workshop.

See section 5 for a sample agenda for the launch workshop.

Figure 11. HRCD for PHSCM Assessment Process—Phase 3

Phase 1:
Scope Assessment

Phase 2:
Build Assessment
Process and Tool

Phase 3:
Collect Data

Phase 4:
Analyze Data and
Report Findings

Collect Data

Data are collected from identified informants using the data collection tool, as adapted by the assessment team, and in adherence with the data collection plan. It is important to note that the assessment team, key stakeholders, and informants should remember that participation in this assessment is not an evaluation of employee performance or a substitute for a supervisory visit.

When conducting interviews and focus groups, data collectors should obtain copies of referenced documents and texts. Every time a respondent refers to a study, policy, law, or other document, ask for a copy; or, at least, a citation for the document. All interview notes should be promptly documented. As a repository for data, the notes are the primary source of data for the analysis and they inform the development of the final report. They are also allow the team to share findings should the team separate.

Mid-way through the assessment and/or prior to moving to a new level within the supply chain, the team should review the data and update or highlight questions based on the initial findings. The team should conduct this preliminary data review meeting to examine initial data to ensure that the remaining data collection process can be used to—

- fill any new information gaps

- validate initial conclusions and recommendations with stakeholders

- receive feedback.

Phase 4—Analyze Data and Report Findings

During the final phase, *Phase 4—Analyze Data and Report Findings*, data from the interviews and focus groups are analyzed and validated (see figure 12). The assessment team uses the validated data to develop recommendations. These recommendations are then checked during a validation workshop. After they are validated, the assessment team finalizes recommendations and proposes an implementation plan for managing recommendations through to fruition.

Figure 12. HRCD for PHSCM Assessment Process—Phase 4

Phase 1: Scope Assessment

Phase 2: Build Assessment Process and Tool

Phase 3: Collect Data

Phase 4: Analyze Data and Report Findings

Analyze Data

During collection, data is recorded in the assessment tool in the form of development level scores (e.g., 0 - 4). Associated notes and other collected data are recorded in the interview and/or focus group notes. This data is now analyzed.

Develop Data Analysis Table

The team reconvenes after the collection process is complete to review, consolidate, and analyze the data.

As a team, data is consolidated by supply chain HRH building block. The assessment team should review the data collection notes and flag issues that are mentioned repeatedly across data sources as potential themes. Data are analyzed and organized into internal factors: strengths and areas for improvement, and external factors: opportunities and challenges (see table 2). [1]

---

1. If the researchers are familiar with the strengths, weaknesses, opportunities, and threats (SWOT) analysis, they can use this technique during the data collection process.

Table 2. Data Analysis Table

Strengths	Areas for Improvement	Opportunities	Challenges
• Strengths are factors with an *internal locus of control* that work well and contribute to HRCD of supply chain personnel. • Recommendations should build on the strengths. • Examples include: robust training program or annual performance management process.	• Areas for improvement are factors with an *internal locus of control* that hinder the HRCD of supply chain personnel. • Recommendations should suggest how to improve. • Examples include: resolve decreasing salary rate.	• Opportunities are conditions with an *external locus of control* that contribute to the HRCD of supply chain personnel. • These factors can be leveraged when planning interventions. • Examples include: robust professional association.	• Challenges are conditions with an *external locus of control* that hinder the HRCD of supply chain personnel. • Recommendations should suggest how to overcome. • Examples include: decreasing budget or oppositional cultural beliefs.
HRH Building Blocks			

Once data is analyzed, the assessment team should narrow findings to those themes that local stakeholders feel strongly about or those that have the most impact on supply chain performance.

Findings should be validated against and supported by the information contained in the secondary data sources accessed and reviewed as a part of the *Reference Document Review* in *Phase 1—Scope Assessment.*

Conduct Root Cause Analysis

After an initial data analysis is completed, the assessment team should identify underlying causes for strengths, areas for improvement, opportunities, and challenges. A root cause analysis helps to generate hypotheses about what is causing strengths, areas for improvement, opportunities, and challenges as they relate to the supply chain operations and performance. The analyses will also inform specific and feasible recommendations.

To identify root causes, the assessment team should ask questions for each strength, area for improvement, opportunity, and challenge—*Why does it exist?*—and then for each reason—*Why does that situation exist?*—and then—*How does this impact the assessed supply chain?* This analysis will enable the team to synthesize results that can be communicated clearly to others and develop findings—by HRH building block and cross-cutting—that will inform data-driven recommendations.

Re-interview Stakeholders

The process of interviewing stakeholders was described earlier. In some cases, questions may remain, or a particular finding may need to be validated. Interviewing the stakeholders again will enable the assessment team to validate their earlier findings or resolve outstanding questions. A second interview is optional and can take place at any stage in the assessment, as needed.

Develop Recommendations

Once data is analyzed the assessment team should formulate recommendations. Some recommendations may be narrowly defined according to a specific HRH building block; others may cut across building blocks. All recommendations should be grounded in assessment analysis and findings.

Each supply chain human resource recommendation should—

- respond to analysis and root causes

- link directly to and clearly illustrate the impact on a supply chain function

- build long-term human resource capacity for the supply chain

- directly support client objectives and/or country supply chain strategy

- ensure that the solution is manageable and realistic, given the resources and skills available

- be achievable within a specified time scale.

Again, recommendations should reflect the priorities and objectives of key stakeholders, and should be the basis for an implementation plan. Developing an implementation plan is discussed in the next section.

Prepare Report

After recommendations are developed, the assessment team should validate them with the individuals responsible for enacting them. Once validated, an implementation plan and final assessment report are developed. These activities also take place in *Phase 4—Analyze Data and Report Findings*.

Validate Findings and Recommendations

Findings and recommendations must be validated to ensure that they are accurate and that they have broad ownership so that action is taken post-assessment. Two primary types of stakeholder groups are included in the validation: (1) assessment sponsors and (2) the stakeholder community.

- **Assessment sponsors.** Findings and recommendations should be vetted with key stakeholders, including sponsors or managers who are decision-makers (i.e., MOH, donors). Ask sponsors to validate the authenticity of findings and determine if the recommendations are consistent with the findings and if any recommendations should be revised or added. These individuals are responsible for approving the identified recommendations and, as such, their agreement is essential.

  During individual meetings, sponsors can validate the recommendations. Hold the meetings before disseminating any additional or outside assessment findings and/or recommendations.

- **Stakeholder community.** By meeting with stakeholders, the team can facilitate consensus-building for the participants as a group, as they validate these findings and recommendations.

  These individuals are responsible for implementing (i.e., ministry, implementing partners, private sector) or funding (i.e., donors, implementing partners) the identified recommendations; therefore, their agreement is also essential.

  Ideally, this review will include the same group that met at the beginning of the assessment and it should have a workshop format.

Validation Workshop

The purpose of the validation workshop is to discuss assessment findings and recommendations and to increase local ownership by stakeholders. Specific objectives include—

- review the assessment findings and recommendations

- create opportunities for discussions and collaboration among stakeholders from diverse sectors (both public and private)

- revise the recommendations based on feedback from stakeholders.

Like the assessment sponsors, workshop attendees are also asked to determine if the recommendations are consistent with the findings and if any recommendations need to be revised or added.

In addition to validating recommendations, stakeholders may be asked to help prioritize the recommendations. This will ensure that the agreed-upon priority of recommended interventions is made by those who understand the in-country context best. This will also earn their commitment and buy-in for a plan to move forward.

The proposed prioritizing of recommendations is based on key criterion that are practical and that include importance, feasibility, risk, affordability, duration, and impact.

See section 5 for a sample validation workshop agenda.

Develop Implementation Plan

Once recommendations are validated and prioritized, the assessment team will draft an implementation plan. This plan will include detailed activities, timeframes, required resources, and a responsible person. The plan is developed with the expectation that it will serve as a management tool and be reviewed regularly to ensure that progress is being made to achieve against established objectives.

Because the plan obligates people, resources, and time, it must be vetted and validated with in-country stakeholders and assessment sponsors.

Report Findings and Recommendations

The final assessment output is a report that includes an overview of the assessment data collection tool, methodology, and sources. It should also present findings and recommendations—preferably, in the same data analysis format as table 2.

After the first draft is complete, ask external reviewers with technical expertise in the human resource field to review the report. Ask them for an independent, objective review from another perspective and to provide comments that will enable the report authors to improve the quality of the content.

The final step in this assessment process is to disseminate the report and recommendations.

To measure progress, one recommendation is to conduct the assessment annually to track if progress has been made in implementing the recommendations. Additional recommendations can then be developed that build on the previous year and encourage the continued development of supply chain human resources.

A sample outline for an assessment report is provided in section 5 of this guide.

SECTION 3

Supply Chain Profile and Human Resources Capacity Development for Public Health Supply Chain Diagnostic Dashboard

- *Public Health Supply Chain Profile*
- *Diagnostic Dashboard*

Public Health Supply Chain Profile

Country/Program Public Health Supply Chain

The *Public Health Supply Chain Profile* is a paper-based survey which is distributed to key informants in order to gather data needed to create a profile of the supply chain(s) being included in the assessment. To utilize this tool:

• Distribute the *Public Health Supply Chain Profile*. Ideally, at least one month before the assessment begins, ensure that one or more country stakeholders has completed the survey. Distribute one survey to key informants for each supply chain to be assessed.

• Collect the *Public Health Supply Chain Profile*, preferably, two weeks or more before the assessment.

• Compile data from administered profiles to create a master *Profile*.

Human Resource Capacity in Public Health Supply Chain Management Assessment Tool—*Public Health Supply Chain Profile*

Name:

_____

Organization and Title:

_____

Your assistance is needed for an ongoing assessment of the human resource capacity of the public health supply chain. The goal of this assessment is to—

• document the capacity of a country's public health supply chain human resource management

• identify where and how to improve supply chain performance through the effective human resource management of supply chain personnel

• document professionalization efforts of personnel working across a country's public health supply chains.

To assess the development of the management of supply chain human resources, it is essential to have an accurate description of the supply chain. Your responses to the following questions will be used to create a description, or profile, of the supply chain where you work.

Please complete one *Public Health Supply Chain Profile* for each supply chain.

As you complete this survey, please include colleagues and/or use the available reference materials (e.g., polices, standard operating procedures). At any point, you can contact the assessment team with questions or concerns.

STEP 1 – Background Information

1 Select the sector and program areas supported by the supply chain(s) included in this assessment: (Check all that apply.)

❑ Public   ❑ Private

❑ Emerging pandemic   ❑ Essential drugs   ❑ HIV/AIDS   ❑ Immunizations
   threats

❑ Integrated primary   ❑ Malaria   ❑ Reproductive health   ❑ TB/ infectious
   care   diseases

❑ Other (please list):

2 Select the product categories managed by the supply chain system(s) included in this profile: (Check all that apply.)

❑ Antiretrovirals   ❑ Contraceptives   ❑ Essential medicines   ❑ HIV test kits

❑ RH supplies   ❑ Lab supplies   ❑ Malaria (ITNs)   ❑ Malaria medicines

❑ Tuberculosis medicine   ❑ Other diagnostic   ❑ Infection control   ❑ SC equipment
                                supplies   supplies

❑ Sexually transmitted   ❑ Non-medicinal   ❑ Vaccines   ❑ Other (please list):
   infection medicines   essential supplies (e.g.,
                                gauze, gloves)

3 Select the type of program/structure: (Check all that apply.)

❑ Parallel supply chain   ❑ Integrated supply chain   ❑ Social marketing   ❑ Parastatal

❑ Faith-based   ❑ Government   ❑ National insurance/   ❑ Nongovernmental
   organization   social security   organization

❑ Private   ❑ Other (specify):

4 Select the human resource of health building blocks that will be assessed for this program/supply chain: (Check all that apply.)

❑ Powerful constituencies   ❑ Policies and plans   ❑ Workforce development

❑ Workforce performance   ❑ Professionalization
   management

5 Select the levels of the supply chain to be included in this assessment: (Check all that apply.)

❑ Port of   ❑ Central   ❑ Regional   ❑ District   ❑ Service   ❑ Other
   Entry   delivery
                                                                         point

List names of organizations/departments/facilities that may be visited (by level):					
Port of entry	**Central**	**Regional**	**District**	**Service delivery point**	**Other (please specify):**

STEP 2 – Supply Chain Indicators

Please note any performance indicators currently used to evaluate the functionality of the supply chain:

Supply Chain Performance Indicator	**Data**	
	Last Year Indicator Values	Current Year Indicator Values

STEP 3 – Supply Chain Human Resource Indicators

If possible, collect statistics on identified human resource indicators (example indicators provided below):

Supply Chain HR Performance Metric	**Definition**	**Data**	
		Last Year Indicator	Current Year Indicator Value
Ratio of different health personnel per 1,000	• *Ratio of supply chain health workers per 1,000 people* • *Total number of pharmacists* • *Total number of pharmacy technicians*		
Ratio of health care worker by geographic distribution	*Ratio of noted above supply chain health personnel by geographic area*		
Attrition rates	*Number of staff working in supply chain leaving a position during an identified time period*		

STEP 4 – Organizational Charts

6 Attach a copy of all applicable organizational charts that describe the supply chain personnel structure for the supply chain(s) being profiled.

If one does not exist, diagram the personnel structure for the supply chain being profiled, including all personnel and any outsourced entities that have supply chain responsibilities. Responsibilities to include in the organizational chart are, but are not limited to—

Supply Chain Management Functions:	Supply Chain HR Functions:
• LMIS management and data analysis	• Workforce planning and recruiting
• Product selection and quantification	• Performance management and evaluation
• Procurement and customs clearing	• Supervision
• Quality assurance	• Training development, coordination, and delivery
• Warehousing	• Personnel budgeting
• Transportation/distribution	• HR policy and procedure management
• Storage and inventory management	• Other, as identified.
• Monitoring and evaluation	
• Stock management and ordering	
• Supply planning	
• Other, as identified.	

Please show relationships between the various levels within the supply chain (i.e., central, regional, district, service delivery point, etc.).

Please include:

• individuals who may not have formally documented supply chain responsibilities

• government and outsourced entities

• donors

• implementing partners.

7 For each department with supply chain responsibilities included in the organizational chart, please note:

	Supply Chain Function	Department/Unit Responsible for Supply Chain Function	Responsibilities Shared With Whom?	Comments
A	Supply chain strategic planning and budget management			
B	Managing and using the LMIS			
C	Product selection			
D	Quantification			
E	Supply planning			
F	Procurement			
G	Quality assurance			
H	Warehousing			
I	Transportation/distribution			
J	Storage/inventory management			
K	Routine monitoring and periodic evaluation			
L	Staffing of supply chain positions			
M	Supervision of and supply chain staff development			
N	Other supply chain activities (please describe):			

* If you need additional space, please continue on another page.

8 On the organizational chart, list all position types or cadres involved in the supply chain—from service delivery point to national program levels that are associated with each department or unit on the organizational chart. supply chain personnel to include in the organizational chart include, but are not limited to—

Supply Chain Management Functions:	Supply Chain Human Resource Functions:
• LMIS data analyst	• recruiting specialist
• quantification analyst	• performance management specialist
• procurement agent	• training coordinator
• customs agent	• budget analyst
• warehouse manager	• HR advisor
• storekeeper	• other, as identified
• picker/packer	
• transportation/distribution manager	
• driver	
• monitoring and evaluation analyst	
• other, as identified.	

On the organizational chart, please use the following key—

D	=	To show roles or people with decision-making authority for each supply chain function
$	=	To show roles or people with budgetary authority
↔	=	To show where responsibilities are shared between departments
★	=	To show national/central-level position(s) dedicated to supply chain

STEP 5. Key Stakeholders and/or Champions

9 Supply Chain Advocates: List key stakeholders in the public health supply chains, including staff members of government units (e.g., ministry of health, education, finance), donor agencies, and other cooperating agencies who advocate for supply chain. Comment on their responsibilities and support (e.g., financial, staff, physical resources) for supply chain activities.

Key Supply Chain Stakeholder/ Title	Supply Chain Advocacy Actions Taken
Example: *- Minister of Health*	*- Member of supply chain working group* *- Fully funded commodity budget line item* *- Funded the construction of two new regional warehouses*

* If you need additional space, please continue on another page.

10 Supply Chain Human Resource Advocates: List stakeholders, including staff members of all units (e.g., ministry of health, education, finance), donor agencies, and other cooperating agencies who advocate for supply chain. Comment on their responsibilities and support (e.g., financial, staff, physical resources) for supply chain activities.

Key Human Resource for Supply Chain Stakeholder	Advocacy for Human Resource for Supply Chain Actions Taken
Example: *- Supply Chain Unit Director*	*- Approved supportive supervision training for all manager-level supply chain employees* *- Approved hiring of three warehouse managers*

* If you need additional space, please continue on another page.

Diagnostic Dashboard HRH Building Block 1: Powerful Constituencies

Dimensions in this Dashboard are designed to assess the development of **Powerful Constituencies** who advocate for supply chain management and personnel.

In 2000, the WHO introduced the concept of health sector stewardship and defined it as "the careful and responsible management of the well-being of the population." Stewards make up powerful constituencies and they are essential to the transparent and equitable allocation of health system resources within supply chains. Through good governance and advocacy, powerful constituencies "ensure strategic policy frameworks exist and are combined with effective oversight, coalition building, regulation, attention to system-design and accountability." (WHO 2007) They are important because they ensure that supply chains operate effectively and efficiently. This HRH building block identifies constituencies and examines their leadership and advocacy on behalf of supply chain management.

When gathering data, begin at the ministerial levels, if possible. Also include donors, like USAID, who will also know the extent to which country leadership is engaged in supply chain human resource capacity development and management. Where there are donor-funded projects dealing specifically with supply chain human resource, project directors should also be interviewed.

> **HRH Building Block Dimensions for Powerful Constituencies**
>
> 1. Supply Chain as a MOH priority
>
> 2. Supply Chain Personnel As Involved Participants
>
> 3. Commodity Security Stakeholder Group
>
> 4. Relationship between Improved Supply Chain Human Resource Management and Access to Commodities
>
> 5. Supply Chain Human Resource Champion

STEP 1 – Note All Key Informants

1 Using the *Persons Interviewed Template* in section 5, list the name and title of the interviewees and/or individuals included in the focus group for this building block. Key informants may include—

- MOH managers

- supply chain personnel and managers

- nongovernmental public health advocates

- donors

- implementing partners

- members and/or staff of local chapters of public health professional associations or councils (e.g., pharmacy association, International Association of Public Health Logisticians (IAPHL) chapters, nursing association)

- licensing or certification organization personnel

- private sector partners within the public health supply chain.

STEP 2 – Identify the Development Stage for *Powerful Constituencies*

2 Double-click on this link: http://deliver.jsi.com/dlvr_content/resources/allpubs/guidelines/hrcd_scm_assess.xlsx to open the Excel-based *Diagnostic Dashboard*. Open the worksheet labeled *Powerful Constituencies*. Here you will find a series of related dimensions.

Ask informants to determine the development stage of each *Powerful Constituencies* dimension. Use the drop-down menu in the *Score* column to select the appropriate development stage (e.g., 0, 1, 2, 3, or 4). Scoring should be made based on the definitions provided in this tool.

For each decision, note why the development stage was selected. Also note any points of disagreement.

After all the dimensions are rated, a graph on the *Dashboard* worksheet will be automatically created which represents the scores by dimension. Do not attempt to reconstruct or change the graphs on the *Dashboard* worksheet.

STEP 3 – Provide Additional Data by Answering the Following Questions

3 Where relevant, review the list of stakeholders identified in the *Public Health Supply Chain Profile* analysis with the interviewee or focus group. Validate and update, as needed, then note below the key decision-makers for the supply chain human resource policy.

Supply Chain Human Resource Decision-maker (name/title)	Organization	Types of Decisions Made or Expected to Make
Example:		
Minister of Health	*Ministry of Health*	*Allocates annual budget to capacity building activities for central supply chain managers*

4 Describe any innovative policies or activities (either past, present, or planned) related to *Powerful Constituencies* that have strengthened/will strengthen human resource capacity in supply chain management. For example, data collection using cell phones, mentoring programs, supportive supervision, other technology incentives, outsourcing, and so on.

_____

_____

_____

_____

STEP 4 – Provide a Summary of *Powerful Constituencies*:

What is working well within *Powerful Constituencies?*	What are challenges within the *Powerful Constituencies?*

How could these challenges be addressed and/or improved?

Diagnostic Dashboard HRH Building Block 2: Policies and Plans

Dimensions in this Dashboard are designed to assess the development of **Policies and Plans** used to manage supply chain personnel.

Human resource policies provide a framework for how employees are expected to behave in the workplace. Policies are written statements which describe an organization's standards and objectives and establish rules, or SOPs, on how employees must complete their jobs and interact with each other. Effective policies are clearly documented, easily accessible, and consistently implemented. Human resource policies and planning provide a "system of human resource practices for a particular job or collection of jobs aimed at [facilitating] the best employee performance possible to meet [an organization's] ultimate goals" (Wright 2008). Within a human resource plan is a workforce plan. A workforce plan identifies current and future human resources needs required by a supply chain to meet performance expectations; it aligns with the organizational design and supports business requirements as identified by SOPs. It is an human resource and business tool used to ensure that an organization the right number of personnel in the right positions at the right times with the right skills. This and other human resource data are managed using a Human Resource Information System (HRIS).

Human resource financing is also included in this HRH building block. To enact human resource policies and plans an organization must have adequate financing. Financing human resource capacity development often represents one of the largest cost elements in providing health services in developing countries. It includes costs associated with salaries, allowances, education, and incentive packages.

> **HRH Building Block Dimensions for Policies and Plans**
>
> 1. Human Resource Strategic Plan for Supply Chain
> 2. Supply Chain Human Resource Budget Allocation–National
> 3. Supply Chain Human Resource Budget Allocation–Lower Levels
> 4. Salary/Incentives for Supply Chain Workers
> 5. Supply Chain Management Procedures
> 6. Human Resource Policies
> 7. Human Resource Information System (HRIS)
> 8. Supply Chain Personnel Pay Scale
> 9. Supply Chain Workforce Planning
> 10. Supply Chain Succession Planning

STEP 1 – Note All Key Informants

1 Using the *Persons Interviewed Template* in section 5, list the name and title of the interviewees and/or individuals included in the focus group for this building block. Key informants may include—

- MOH managers and personnel
- HR managers and personnel
- supply chain managers and personnel
- nongovernmental public health advocates
- donors or implementing partners
- members and/or staff of local chapters of public health professional associations or councils (e.g., pharmacy association, International Association of Public Health Logisticians (IAPHL) chapters, nursing association)
- licensing or certification organization personnel
- private sector partners within the public health supply chain.

STEP 2 – Identify the Development Stage for *Policies and Plans*

② Double-click on this link: http://deliver.jsi.com/dlvr_content/resources/allpubs/guidelines/hrcd_scm_assess.xlsx to open the Excel-based *Diagnostic Dashboard*. Open the worksheet labeled *Policies and Plans*. Here you will find a series of related dimensions.

Ask informants to determine the development stage of each *Policies and Plans* dimension. Use the drop-down menu in the *Score* column to select the appropriate development stage (e.g., 0, 1, 2, 3, or 4). Scoring should be made based on the definitions provided in this tool.

For each decision, note why the development stage was selected. Also note any points of disagreement.

After all the dimensions are rated, a graph on the *Dashboard* worksheet will be automatically created which represents the scores by dimension. Do not attempt to reconstruct or change the graphs on the *Dashboard* worksheet.

STEP 3 – Provide Additional Data

③ Which individuals or organizations and/or departments are included in MOH decisions and policymaking processes that impact supply chains?

_____

_____

_____

_____

④ If there is a strategic plan for human resource capacity development for public health supply chains (possibly as a sub-component within a logistics system strategic plan or within a general human resources for health strategic plan), describe how it has strengthened human resource management for supply chains and/or health commodity availability.

_____

_____

_____

_____

⑤ If there is a plan, what is the process for updating or revising it?

_____

_____

_____

_____

6 How do civil service policies and/or local employment law affect the workforce in a supply chain? Are there any positive or negative aspects of those policies or laws (e.g., in establishing new positions, terminating under-performing staff)?

_____

_____

_____

_____

7 Describe any innovative processes for developing human resource management *Policies or Plans* (either past, present, or planned) that have strengthened or will strengthen human resource capacity in supply chain management. For example, data collection using cell phones, mentoring programs, supportive supervision, other technology incentives, outsourcing, and so on.

_____

_____

_____

_____

STEP 4 – **Provide a Summary of** *Policies and Plans*

What is working well within *Policies and Plans?*	What are challenges within the *Policies and Plans?*

How could these challenges be addressed and/or improved?

Diagnostic Dashboard HRH Building Block 3: Workforce Development

Dimensions in this Dashboard are designed to assess **Workforce Development** activities intended to build the knowledge, skills, and attributes of supply chain personnel.

Significant shortages of competent supply chain workers negatively impacts supply chain performance. Too often, their skills and experience are poorly suited to their roles. Workforce development is the process of building a workforce with the knowledge, skills, and attributes required to operate supply chains functions. Knowledge, skills, and attributes are drawn from competency models which are a set of defined behaviors required to be successful in a position. Competency models provide a structured framework for recruiting, evaluating, and developing a qualified supply chain workforce (Marrelli 1998). They inform the development of job descriptions and guide career paths.

Desired competencies also inform the development of educational or training curriculum designed to produce qualified supply chain professionals. Curriculum can be administered in three forms: pre-service education; postgraduate and specialty training; and in-service training, including professional development.

> **HRH Building Block Dimensions for Workforce Development**
>
> 1. Supply Chain Recruiting Policies, Procedures, Tools
> 2. Supply Chain Personnel Recruiting Practices
> 3. Supply Chain Core Competencies and Frameworks
> 4. Supply Chain Personnel Career Path
> 5. Supply Chain Job Descriptions
> 6. Supply Chain Training Unit
> 7. Supply Chain Training Strategy
> 8. Supply Chain Pre-Service Training
> 9. Supply Chain In-Service Training
> 10. Ability of Local Institutions to Provide Supply Chain Education and Training

STEP 1 – Note All Key Informants

1 Using the *Persons Interviewed Template* in section 5, list the name and title of the interviewees and/or individuals included in the focus group for this building block. Key informants may include—

- MOH managers and personnel
- HR managers and personnel
- supply chain managers and personnel
- nongovernmental public health advocates
- donors
- implementing partners
- members and/or staff of local chapters of public health professional associations or councils (e.g., pharmacy association, IAPHL chapters, nursing association)
- licensing or certification organization personnel
- private sector partners within the public health supply chain
- academic and training institutions.

STEP 2 – Identify the Development Stage for *Workforce Development*

2 Double-click on this link: http://deliver.jsi.com/dlvr_content/resources/allpubs/guidelines/hrcd_scm_assess.xlsx to open the Excel-based *Diagnostic Dashboard*. Open the worksheet labeled *Workforce Development.* Here you will find a series of related dimensions.

Ask informants to determine the development stage of each *Workforce Development* dimension. Use the drop-down menu in the *Score* column to select the appropriate development stage (e.g., 0, 1, 2, 3, or 4). Scoring should be made based on the definitions provided in this tool.

For each decision, note why the development stage was selected. Also note any points of disagreement.

After all the dimensions are rated, a graph on the *Dashboard* worksheet will be automatically created which represents the scores by dimension. Do not attempt to reconstruct or change the graphs on the *Dashboard* worksheet.

STEP 3. Provide Additional Data

Workforce Identification

3 What are primary sources for recruiting supply chain personnel? (Check all that apply.)

❑ Same organization

   ❑ Public sector:

      ❑ Other government agencies

      ❑ Other public sector

❑ Supply chain-related private sector:

   ❑ International NGO/business

   ❑ Local private company

   ❑ Health-related

   ❑ Non-health related

❑ Academia:

   ❑ Professors

   ❑ Students

❑ Any of the above categories but NOT related to the supply chain

❑ Other: (Describe.)

4 Describe the recruitment process.

_____

_____

_____

_____

5 For a vacant supply chain position, approximately, how long does it take to authorize a position for recruitment and then recruit, interview, select, and approve a candidate?

_____

_____

_____

_____

Workforce Development

6 List any supply chain roles for which competency models have been developed. (Obtain a copy of models.)

_____

_____

A.   How are core competencies and/or competency models used as tools to guide individual supply chain careers?

_____

_____

B.   How have core competencies and/or competency models been used to inform training requirements and development?

_____

_____

7 If a training unit exists and is operating within the MOH, describe if and how it is used to develop a training plan and associated training materials for supply chain positions.

_____

_____

_____

8 List supply chain roles at each supply chain level that have job descriptions. (Obtain a copy of job descriptions).

9 Is supply chain content included in any *pre-service education* curriculum? If so, for which roles?

_____

_____

A.   How often is it reviewed and updated?

_____

_____

B.   What is working well in these pre-service education programs? What is not working well? Why?

_____

_____

C.   Collect relevant curriculum outlines, if possible.

10 Is supply chain content included in any *in-service training programs* (e.g., training that exists for currently employed staff; including workshops, trainings, courses, on-the-job training, etc.)? If so, for which roles:

_____

_____

A.   List the training courses offered for each identified role:

_____

_____

B.   How often is it reviewed and updated?

_____

_____

C.   How often, on average, do staff members participate in in-service trainings? (Describe as number of times per year and/or amount of time per year.)

❏ 1–2 times a year_____

❏ 3–4 times per year_____

❏ More than 5 times per year_____

D.   What is working well with *in-service training programs?* What is not working well? Why?

E. Collect relevant curriculum outlines, if possible.

Pre-Service Education

10 **Pre-Service Education:** List the educational/training institutions and course/programs that provide pre-service supply chain education.

11

Education/Training Institution or Organization	Course/Program/Class
Example:	
- University of the country	*- 1 semester course in supply chain for all pharmacists*

* If you need additional space, continue on another page.

In-Service Training

2 **In-Service Training:** List the educational/training institutions and course/programs that provide in-service supply chain training.

12

Education/Training Institution or Organization	Course/Program/Class
Example:	
- Institute of Public Health Training	*- 1 week course in quantification for procurement agents*

* If you need additional space, continue on another page.

10
13 Describe any innovative *Workforce Development* policies/activities (either past, present, or planned) that have strengthened/will strengthen human resource capacity in supply chain. For example, data collection using cell phones, mentoring programs, supportive supervision, other technology incentives, outsourcing, and so on.

STEP 4 – Summarize *Workforce Development*

What is working well in *Workforce Development?*	What are the challenges in *Workforce Development?*

How could these challenges be addressed and/or improved?

NOTE: If needed, use the supplemental survey in this tool to gather additional data for this HRH building block.

Diagnostic Dashboard HRH Building Block 4: Workforce Performance Management

Dimensions in this Dashboard are designed to assess the development of **Workforce Performance Management** activities intended to build and improve the performance of supply chain personnel.

Performance management is the systematic process of planning work and setting expectations, periodically rating performance in relation to job criteria, and rewarding good performance. Criteria are established in competency models, imbedded in job descriptions, and linked to organizational objectives. The most effective management of performance is done on an ongoing basis through supportive supervision and coaching and/or mentoring. To ensure that supervision is unbiased and productive, managers must give feedback according to established guidelines and understand how to properly reward good performance to encourage retention and respond to and mitigate poor performance. Ultimately, the objective of performance management is to link individual employee goals and performance to organizational goals and performance through competency-based assessment in order to positively impact supply chain performance.

HRH Building Block Dimensions for Workforce Performance Management

1. Supply Chain Management HR Performance Management Policies, Procedures, Tools

2. Supply Chain Performance Assessment Process

3. Staff Development Plans

4. Supply Chain Personnel Retention and Performance Incentives

5. Supervision Guidelines

6. Supervision Visits

7. Mentoring and Coaching

8. Supply Chain Personnel Retention

9. Supply Chain Curriculum Availability

STEP 1 – Note All Key Informants

1 Using the *Persons Interviewed Template* in section 5, list the name and title of the interviewees and/or individuals included in the focus group for this building block. Key informants may include—

- MOH managers and personnel

- HR managers and personnel

- supply chain managers and personnel

- nongovernmental public health advocates

- donors

- implementing partners

- members and/or staff of local chapters of public health professional associations or councils (e.g., pharmacy association, IAPHL chapters, nursing association)

- licensing or certification organization personnel

- private sector partners within the public health supply chain

- training institutions, educators.

Note: See section 3 of this guide for additional questions in *Performance Management, Supervisory Supplemental Survey;* complete, if time allows.

STEP 2 – Identify the Development Stage for *Workforce Performance Management*

2 Double-click on this link: http://deliver.jsi.com/dlvr_content/resources/allpubs/guidelines/hrcd_scm_assess.xlsx to open the Excel-based *Diagnostic Dashboard*. Open the worksheet labeled *Workforce Performance Management and Plans*. Here you will find a series of related dimensions.

Ask informants to determine the development stage of each *Workforce Performance Management* dimension. Use the drop-down menu in the *Score* column to select the appropriate development stage (e.g., 0, 1, 2, 3, or 4). Scoring should be made based on the definitions provided in this tool.

For each decision, note why the development stage was selected. Also note any points of disagreement.

After all the dimensions are rated, a graph on the *Dashboard* worksheet will be automatically created which represents the scores by dimension. Do not attempt to reconstruct or change the graphs on the *Dashboard* worksheet.

STEP 3 – Provide Additional Data by Answering the Following Questions

Workforce Performance Management

3 Is the performance of supply chain personnel evaluated?   Yes ❑   No ❑

  If yes, then—

A. Is performance evaluated annually?   Yes ❑   No ❑
B. Is the evaluation process communicated to all employees?   Yes ❑   No ❑
C. Is the evaluation process consistently implemented?   Yes ❑   No ❑
D. Is the evaluation process based on criteria that use a competency model or job description?   Yes ❑   No ❑

4 If a staff member's performance in supply chain is not satisfactory, to remediate their performance are they given—

A. in-service training?   Yes ❑   No ❑
B. on-the-job training?   Yes ❑   No ❑
C. written instructions on how to improve?   Yes ❑   No ❑
D. coaching or mentoring?   Yes ❑   No ❑
E. appropriate tools to complete the job?   Yes ❑   No ❑

Workforce Retention

5 What mechanisms, if any, are in place to encourage the retention of staff members that have supply chain responsibilities? (Check all that apply.)

A.	monetary incentives (e.g., bonuses, pay increases)?	Yes ❑ No ❑
B.	public recognition (e.g., awards, congratulatory notes, national/local supply chain days)?	Yes ❑ No ❑
C.	career path/trajectory/ladder (e.g., opportunities for promotions, title changes)?	Yes ❑ No ❑
D.	compulsory service or subsidized education in return for service?	Yes ❑ No ❑
E.	improved work environments (e.g., quality equipment, supplies, supervision/mentoring)?	Yes ❑ No ❑
F.	living condition incentives/perks (e.g., transport or living allowances)?	Yes ❑ No ❑
G.	professional development (e.g., opportunities to attend trainings, conferences)?	Yes ❑ No ❑

Follow-up question: How do offered mechanisms compare to other fields? Are they more or less comparable?

6 How would you quantify the average turnover rate in supply chain positions or positions with supply chain responsibilities? *Turnover: Someone leaving for a job either in a different department, organization, or sector.*

Service Delivery Level (lowest level of supply chain: CBD, clinic, hospital)		Mid-Level (district mgmt. team, district warehouse, provincial warehouse, etc.)		Central-Level (Central Medical Stores)	
No./%	Level/Org:	No./%	Level/Org:	No./%	Level/Org:
	less than 1 year		less than 1 year		less than 1 year
	less than 3 years		less than 3 years		less than 3 years
	less than 5 years		less than 5 years		less than 5 years
	more than 5 years		more than 5 years		more than 5 years
Comments		**Comments**		**Comments**	

7 On average, when public-sector staff in supply chain positions or with supply chain responsibilities leave their position, to what types of positions/departments/organizations do they move? (Check the three most common.)

❑ Same organization, take on new position that also has supply chain responsibilities

❑ Public sector:

    ❑ Other government agencies

    ❑ Other public sector

❑ Private sector:

    ❑ International NGO/business

    ❑ Local private company

    ❑ Health-related

    ❑ Non-health related

❑ Academia

❑ Other: (describe)

8 What, if any, supply chain tasks are completed by personnel who do not have supply chain training or other entities (e.g., outsourced to private companies)?

Service Delivery Level (lowest level of supply chain: CBD, clinic, hospital)		Mid-Level (district mgmt. team, district warehouse, provincial warehouse, etc.)		Central Level (central medical stores, national procurement units, etc.)	
Tasks:	Completed by:	Tasks:	Completed by:	Tasks:	Completed by:
i.e., computing and requesting resupply	*Community-based distribution workers*				
Comments		**Comments**		**Comments**	

9 Describe any innovative *Workforce Performance Management* policies or activities (either past, present, or planned) related that have strengthened or will strengthen human resource capacity in supply chain. For example, data collection using cell phones, mentoring programs, supportive supervision, other technology incentives, outsourcing, etc.

_____

_____

_____

_____

STEP 4. – Provide a Summary of *Workforce Performance Management*

What is working well in *Workforce Performance Management?*	What are the challenges in *Worforce Performance Management?*

How could these challenges be addressed/improved?

NOTE: If needed, use the supplemental survey in this tool to gather additional data for this HRH building block.

Diagnostic Dashboard HRH Building Block 5: Professionalization

Dimensions in this Dashboard are designed to assess the development of **Professionalization** efforts intended to formalize supply chain roles.

Professionalization is the process of recognizing a set of responsibilities or shared tasks as an established profession with standardized competency expectations (Health Systems 20/20). A professionalized role means that all tasks fall within a specific job with a formal title. Those filling a professionalized role are required to have completed an established curriculum (either pre- or in-service) designed to develop the knowledge, skills, and attributes required by the tasks for successful completion. As noted already, roles can be professionalized through the explicit creation of a job to which all tasks are formally assigned, but also by requiring a license or certificate to perform the tasks assigned to the professionalize role. Professionalization is also strengthened by the existence and support of associations which provide control or oversight for the practice of a given occupation.

Tasks within the supply chain field are often not considered a professional role requiring specialized training. As such they are shifted to any number of personnel without considering their capacity and competency in the supply chain field. The consequence of haphazard task-shifting is poor supply chain managements. To improve the delivery of supply chain services, efforts are being made to professionalize supply chain roles and tasks through education and licensure and the development of professional associations.

> **HRH Building Block Dimensions for Professionalization**
>
> 1. Supply Chain License
>
> 2. Supply Chain Certificate
>
> 3. University Degree Program as Pre-requisite for Employment
>
> 4. Supply Chain Coursework Included in Health Care Degree Programs
>
> 5. Supply Chain Role as a Professional Role
>
> 6. Supply Chain Associations

STEP 1 – Note All Key Informants

❶ Using the *Persons Interviewed Template* in section 5, list the name and title of the interviewees and/or individuals included in the focus group for this building block. Key informants may include—

- MOH managers and personnel

- HR managers and personnel

- supply chain managers and personnel

- nongovernmental public health advocates

- donors

- implementing partners

- members and/or staff of local chapters of public health professional associations or councils (e.g., pharmacy association, IAPHL chapters, nursing association)

- licensing or certification organization personnel

- private sector partners within the public health supply chain.

STEP 2 – Identify the Development Stage for *Professionalization*

② Double-click on this link: http://deliver.jsi.com/dlvr_content/resources/allpubs/guidelines/hrcd_scm_assess.xlsx to open the Excel-based *Diagnostic Dashboard*. Open the worksheet labeled *Professionalization*. Here you will find a series of related dimensions.

Ask informants to determine the development stage of each *Professionalization* dimension. Use the drop-down menu in the *Score* column to select the appropriate development stage (e.g., 0, 1, 2, 3, or 4). Scoring should be made based on the definitions provided in this tool.

For each decision, note why the development stage was selected. Also note any points of disagreement.

After all the dimensions are rated, a graph on the *Dashboard* worksheet will be automatically created which represents the scores by dimension. Do not attempt to reconstruct or change the graphs on the *Dashboard* worksheet.

STEP 3 – Provide Additional Data By Answering The Following Questions

③ Note any supply chain licenses or certificates that are considered a pre-requisite for supply chain employment.

Certificate or License Name	Certification or License?	Who Provides It?	Process for Award	How Often Must It Be Updated?	Public or Private Sector Sponsored?

* If you need additional space, continue on another page.

④ Describe any innovative *Professionalization* policies or activities (either past, present, or planned) that have strengthened or will strengthen human resource capacity in supply chain management. For example, data collection using cell phones, mentoring programs, supportive supervision, other technology incentives, outsourcing, and so on.

_____

_____

_____

_____

STEP 4 – Provide a Summary of *Professionalization*

What is working well in *Professionalization?*	What are the challenges in *Professionalization?*

How could these challenges be addressed and/or improved?

Diagnostic Dashboard HRH Building Block 3: Workforce Development Supplemental Survey

Administer this optional survey to supplement data gathered for *HRH Building Block 3: Workforce Development.*

Pre-Service Training

1 Describe available *pre-service education* for supply chain roles:

Name of Program	Name of Program	Name of Program
Length?	Length?	Length?
Modality	Modality	Modality
Classroom courses	Classroom courses	Classroom courses
Combination of Classroom courses and distance learning	Combination of Classroom courses and distance learning	Combination of Classroom courses and distance learning
Distance learning course: Virtual	Distance learning course: Virtual	Distance learning course: Virtual
Required or elective?	Required or elective?	Required or elective?
Topics covered	Topics covered	Topics covered
When first implemented?	When first implemented?	When first implemented?
How are instructors trained and by whom?	How are instructors trained and by whom?	How are instructors trained and by whom?
Certifications	Certifications	Certifications
Professional	Professional	Professional
Nationally recognized only	Nationally recognized only	Nationally recognized only
Internationally recognized	Internationally recognized	Internationally recognized

2 What factors were considered when supply chain *pre-service education program(s)* were developed:

❑ Assisted by the ministry of education

❑ Coordinated with other institutions

❑ Used national training programs as models

❑ Used international training programs as models

❑ Developed own curriculum

❑ Other (specify)_____.

In-Service Training

3 Describe available *in-service training programs*:

Name of Program	Name of Program	Name of Program
Length?	Length?	Length?
Modality	Modality	Modality
Classroom courses	Classroom courses	Classroom courses
Combination of Classroom courses and distance learning	Combination of Classroom courses and distance learning	Combination of Classroom courses and distance learning
Distance learning course: Virtual	Distance learning course: Virtual	Distance learning course: Virtual
Required or elective?	Required or elective?	Required or elective?
Topics covered	Topics covered	Topics covered
When first implemented?	When first implemented?	When first implemented?
How are instructors trained and by whom?	How are instructors trained and by whom?	How are instructors trained and by whom?

Certifications		Certifications		Certifications
Professional		Professional		Professional
Nationally recognized only		Nationally recognized only		Nationally recognized only
Internationally recognized		Internationally recognized		Internationally recognized

4 What factors were considered when supply chain *in-service training program(s)* were developed:

❑ Assisted by the ministry of education

❑ Coordinated with other institutions

❑ Used national training programs as models

❑ Used international training programs as models

❑ Developed own curriculum

❑ Other (specify)_____.

Diagnostic Dashboard HRH Building Block 4: Workforce Performance Management Supplemental Survey

Administer this optional survey to supplement data gathered for *HRH Building Block 4: Workforce Performance Management.*

Diagram (in a graph or table) the supervisory structure by job position/title, and by level, for the following supply chain tasks.

• Indicate if any position is supervised by more than one person or unit.

• Indicate if supply chain supervision is integrated with other programmatic supervision.

• Indicate from what level to what level (and who actually conducts and receives the supervision).

Use the table provided to record findings:

From Level and by Whom	To What Level and to Whom	Supply Chain Activities Supervised	Frequency of Supervision	Supervision Tools Used
i.e., - *central, warehouse manager*	- *central/ warehouse team leaders* - *regional/ warehouse managers*	- *team leader management in central facility and at regional locations* - *LMIS collection and analysis*	- *quarterly*	- *management checklist* - *LMIS forms*

Key Terms

accreditation. External quality review and certification by a recognized body that evaluates individuals, colleges, universities, and educational programs to ensure they are competently performing their assigned responsibilities.

association. Organizations which provide control or oversight for the practice of a given occupation, including those within the supply chain field. They maintain and enforce standards of training and ethics within a profession and are involved in developing and monitoring professional educational programs and updating skills. Membership in a professional body, as a legal requirement, can, in some professions, be the primary formal basis for gaining entry to and setting up practice within the profession (see licensure).

career development. The process by which individuals establish their current and future career objectives and assess their existing skills, knowledge, or experience levels; including implementing a course of action to attain their desired career objectives.

career ladder. The progression of jobs in an organization's specific occupational fields, which are ranked from highest to lowest, based on the level of responsibility and pay.

career mobility. The tendency of an individual to make several career changes during their lifetime, instead of committing to a long-term career within a specific occupational field.

career path. The progression of jobs in an organization's specific occupational fields, which are ranked from lowest to highest in a hierarchal structure.

career planning. Establishing career objectives and determining appropriate educational and developmental programs to further develop the skills required to achieve short- or long-term career objectives.

certification. A process by which an authorized body evaluates and recognizes either an individual or an organization as meeting predetermined requirements or criteria. When applied to individuals, certification usually implies that the individual has received additional education and training, and has demonstrated competence in a specialty area beyond the minimum requirements set for licensure.

competency. Knowledge, skills, and abilities, or a set of defined behaviors, required to perform a specific task or function; providing a structured guide that can be used to identify, evaluate, and develop the desired behaviors in individual employees.

competency model. Identifies the competencies needed to perform a specific role in a job, organization, or profession; refers to a group of competencies required in a specific job.

competency framework. A structure that lists and defines each individual competency—for example, problem solving or people management—required by individuals working in an organization, or as part of an organization.

development program. Training or educational programs that expands an individual's professional growth by increasing their skills, knowledge, or abilities.

employee retention. Organizational policies and practices that meet the diverse needs of employees and create an environment that encourages employees to remain employed.

human capital. The collective knowledge, skills, and ability of an organization's employees.

human resources (HR). The function dealing with the management of people employed within an organization.

human resource planning. Anticipating future staffing needs and ensuring that a sufficient pool of talent, with the skills and experience needed, will be available to meet those needs.

human resource specialist. An individual with the expertise and responsibility for specific areas or functions in the HR field (i.e., compensation, benefits, employee relations, etc.).

in-service training. Capacity- and skills-building for an individual employed within a particular field. To enable the individual to return to their position and immediately apply lessons learned, skills-building opportunities are often for a short time or are on-the-job.

incentive pay. Additional compensation used to motivate and reward employees for exceeding performance or productivity goals.

job description. A written description of a job that includes information about the general nature of the work to be performed, specific responsibilities and duties, and the employee characteristics required to perform the job.

knowledge, skills, and abilities. The attributes required to perform a job; usually shown by qualifying experience, education, or training.

licensure. A process used by a governmental authority to grant permission to an individual or organization to operate or to engage in an occupation—often to ensure that minimum standards are met to protect public health and safety. Licensure to individuals is usually granted after some form of examination or proof of education; it can often be periodically renewed by paying a fee, and/or proof of continuing education or professional competence.

organization chart. A graphic representation outlining how authority and responsibility are distributed within an organization.

organizational unit. Any component that is part of the contractor's corporate structure. In a traditional organization, it could be a department, division, section, branch, or group. In a less traditional organization, it could be a project team or job family.

performance-based pay. A variable pay strategy that pays employees based on their individual performance and contributions, instead of the value of the job they are performing.

performance improvement plan. A plan implemented by a manager or supervisor that provides employees with constructive feedback, facilitates discussions between an employee and his or her supervisor about performance-related issues, and outlines specific areas of performance that needs to be improved.

performance management. Maintaining or improving employee job performance using performance assessment tools, coaching, and counseling, as well as continuous feedback.

performance standards. The tasks, functions, or behavioral requirements established by the employer as goals for the employee.

pre-service training. Capacity- and skills-building that occurs before an individual joins the workforce, or before an individual's service in the field of study.

privacy. Information about an employee that they consider personal or private (i.e., medical information, financial data, etc.); including that individual's right not to share that information with others.

professionalization. A role or set of responsibilities or competencies that are developed into or established as a profession.

policy/procedures manual. A detailed written document for managers and supervisors that lists their day-today responsibilities; including all the organization's policies and the procedures required to implement those policies.

recognition. Acknowledging an employee's exceptional performance or achievements, expressed by praise, commendation, or gratitude.

recruitment. Using a variety of methods to solicit and actively seek applicants to fill recently vacated or newly created positions: internal job postings, advertising in newspapers or electronic job boards/sites, search firms, or listing position with trade and professional associations, etc..

reward system. A formal or informal program that recognizes individual employee achievements, such as accomplishing goals or projects, or submitting creative ideas.

salary grade. A compensation level expressed as a salary range that has been established for each position within the organization.

salary range. A range of pay rates, from minimum to maximum, set for a specific pay grade.

salary structure. Job grades and pay ranges established within an organization—can be job grades or job evaluation points.

selection process. Any step, combination of steps, or procedure used for any employment decision; including, but not limited to, informal or casual interviews; unscored application forms; paper and pencil tests; performance tests; training programs; probationary periods; and physical, education, and work experience requirements. These include the decision-making process used to determine whether or not to hire or promote.

skills training. Provided to employees to help them achieve the skills and knowledge necessary to perform their current jobs; also, used for retraining when new systems or processes are introduced.

staffing. The function, within an organization, that is responsible for recruitment, screening, and selection of employees. Often, this function may also be responsible for other areas of employment; for example, orientation, retention, training, and termination of staff.

stakeholder. A person with a vested interest in the successful completion or outcome of a project.

strategic HR. Taking a long-term approach to HR management by developing and implementing HR programs that address and solve business problems, and that directly contribute to major long-term business objectives.

strategic planning. Identifying an organization's long-term goals and objectives and then determining the best approach for achieving those goals and objectives.

strategic staffing. The practice of hiring smaller core numbers of permanent employees and using temporary employees to fill higher specialized positions within the organization.

supply chain manager. The person responsible for implementing supply chain activities and functions that ensure health supplies are available at service facilities; including procurement, quality assurance, warehousing, distribution, logistics information management, and monitoring.

supervise. To oversee a process, work, workers, etc., during its execution or performance; having oversight and direction (Dictonary.com 2012).

supervision. The act, function, or process of supervising.

supportive supervision. Promotes quality by strengthening relationships within the system; focuses on identifying and resolving problems; and helps to optimize the allocation of resources, promoting high standards, teamwork, and better two-way communication (Marquez and Kean 2002).

training. Educational experiences provided to employees to expand their competency, or who have the potential for promotion into supervisory or managerial-level positions within the organization, or as a remedy for performance-related issues.

training and development. An activity primarily for transferring or obtaining knowledge, attitudes, and skills needed to carry out a specific activity or task.

turnover. Describes changes in the workforce resulting from voluntary or involuntary resignations.

turnover rate. The number of employee separations during a month, including both voluntary and involuntary terminations (excluding layoffs). It is calculated by dividing the number of separations during a month by the average number of employees on the payroll, multiplied by 100.

wage structure. Range of pay rates paid for each grade for positions within the organization.

workforce analysis. Listing of each job title as the title appears in applicable payroll records, ranked from the lowest to the highest paid within each department, including the supervision department or unit.

workforce development. Broadly defined, it means implementing integrated strategies or systems to increase workplace productivity; this is accomplished by designing improved processes for developing skills and using the employees with the required skills and aptitude to meet current and future business needs.

workforce planning. An assessment of current workforce content and composition issues that is used to determine what actions must be taken to respond to future needs.

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SECTION 5
Templates

- *Illustrative Assessment Scope of Work*
- *Illustrative Assessment Team Member Roles and Responsibilities*
- *Assessment Logistics and Responsibilities Checklist*
- *Illustrative Budget*
- *Persons Interviewed Template*
- *Launch and Validation Workshop Agendas*
- *Illustrative Assessment Report Outline*

Illustrative Assessment Scope of Work

HR Capacity Development for Public Health Supply Chain Management Assessment Scope of Work

Anticipate needing: [Note number of consultants to participate in assessment]
Country: [*Name of Country in which assessment will take place*]
Dates: [*Dates of assessment*]

Background:

An essential component of a robust health system is an effective supply chain which provides health workers and clients with vital public health commodities. To run effectively, a public health supply chain requires a sufficient number of motivated staff with the competency required to fulfill essential supply chain functions; they must also be empowered to make decisions that positively impact health supply availability and supply chain operations.

Too often, however, an insufficient amount of adequately trained and/or motivated personnel is often the cause of supply chain system breakdowns and poor system performance, which is often demonstrated with product stockouts. This is compounded by a lack of recognition among many health institutions of the vital role supply chain personnel play in the performance of health systems.

The *Human Resource Capacity Development in Public Health Supply Chain Management Assessment Tool* is a structured, rating-based methodology designed to identify opportunities and challenges associated with human resource management of supply chain personnel. Data collected through this assessment is expected to strengthen supply chain personnel capacity by informing host country efforts to build applicable HR systems and advocate for the professionalization of supply chain management. By strengthening the capacity of public health supply chain personnel, both supply chains and, ultimately, health systems, will operate more effectively; thus ensuring clients improved access to lifesaving health supplies.

Purpose Statement:

The purpose of this assessment is to:

• document the capacity of a country's public health supply chain human resource management

• identify where and how to improve supply chain performance through the effective human resource management of supply chain personnel

• document professionalization efforts of personnel working across a country's public health supply chains.

Specific Tasks to be Performed:

Before travel:

• Conduct desk review of relevant human resources for supply chain management materials as well as country-specific background resources.

• Confirm assessment scope with sponsoring client.

• Identify assessment team members.

- Outline assessment schedule and schedule in-country visits.

- Convene assessment team to assign roles and responsibilities and build the data collection process and tool.

- Request in-country counterparts and government assessment team members to complete the *Public Health Supply Chain Profile* for each assessed supply chain.

In-country:

A. Week One:

    – Conduct an in-brief with sponsoring client and key stakeholders.

    – Schedule interviews and focus groups.

    – Conduct Launch Workshop to reach consensus on assessment data collection plan and tool.

    – Review the *Public Health Supply Chain Profile* data with assessment team; gather any remaining data requirements and finalize organizational chart and roles/responsibilities matrix for all supply chains (and levels) included in the assessment.

    – Coordinate focus group logistics and participation.

    – Deploy data collection tool: begin conducting interviews and focus groups.

B. Week Two:

    – Continue data collection.

    – Begin developing preliminary findings.

C. Week Three:

    – Review data and prepare findings and distill recommendations.

    – Conduct Validation Workshop to review data, confirm findings, validate recommendations, and present proposed recommendations implementation plan.

    – Update recommendations and develop implementation plan.

    – Conduct an out-brief with sponsoring client.

Post travel:

- Complete final report with full assessment results and country strategy on supply chain human resources and recommendations.

- Share report with respective stakeholders for review and input.

- Disseminate recommendations.

- To compare and share experiences, where possible, share results with other countries conducting the same exercise.

Deliverables:

- organizational chart/diagram illustrating supply chain human resources stakeholders and functions throughout the supply chain

- technical report outlining human resource requirements for building the capacity of personnel working within the supply chain and advocating for their professionalization

Desired Assesssment Team Composition:

- two consultants with skills in human resources and facilitation

- program managers

- host country government representative per assessed supply chain.

Assessment Team Qualifications:

Required qualifications of the technical advisor(s):

The team should include at least—

- one consultant with expertise in supply chain management

- one with expertise in human resources management

- country or regional experience

- strong organizational skills

- familiarity/experience with process mapping and/or assessment procedures

- strong planning and facilitation skills

- fluency in English

- good data analysis (quantitative and qualitative) and report writing skills.

Assessment Team Member Roles and Responsibilities

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

Skill Requirements	Role	Tasks to Complete
Team Lead		
• Expertise in supply chain management • Expertise in human resources policy • Country or regional experience • Strong organizational skills • Familiarity/experience with process mapping and/or assessment procedures • Strong planning and facilitation skills • Good data analysis (quantitative and qualitative) and report writing skills • Fluency in the country official language (desired, but not required)	• Lead overall management of team activities, with clear performance expectations • Clarify the scope and timeline with client and team members • Ensure timely completion within budget • Manage data collection, analysis, report writing • Lead team in synthesizing findings across modules • Review report drafts from individual team members • Ensure external technical review of the report • Deliver final report to client, after copyediting and formatting	• Identify team members, assign technical responsibilities, and lead team planning meetings; including frequent team meetings while in-country • Prepare scope of work for the assessment • Communicate regularly with client regarding scope, timeline, and progress, including initial and final debriefings • Establish protocols for interview note taking, sharing notes among team members; report format before in-country trip • Plan and conduct stakeholder workshop(s), with full team • Work closely with assessment coordinator to ensure smooth logistics
Team Member(s) (2–3)		
• Expertise in supply chain management • Expertise in human resources policy • Country or regional experience • Strong organizational skills • Familiarity/experience with process mapping and/or assessment procedures • Strong planning and facilitation skills; • Good data analysis (quantitative and qualitative) and report writing skills • Fluency in the country official language (desired, but not required)	• Conduct data collection, analysis, and write report section, as assigned • Ensure consistency of analysis, findings, and recommendations • Participate in all team meetings and stakeholder workshops • Support team leader, as needed	• Review guide • Prepare for data collection: lists of documents, data needs, and potential interviewees for each chapter, based on information gaps • Review secondary sources before country visit; conduct in-country data collection and analysis, including travel within country, as needed • Complete report section

Skill Requirements	Role	Tasks to Complete
Assessment Coordinator		
• Country or regional experience • Strong organizational skills • Strong planning and facilitation skills • Fluency in the country's official language	• Support team leader in overall coordination for all team activities (as listed above) • Support team to ensure timely completion of the assessment within budget • May also be one of the technical experts on the team	• Prepare the assessment logistics checklist and budget; ensure team is following it • Contract consultants and make travel plans • Organize any in-country dissemination events or stakeholder workshop

Assessment Logistics and Responsibilities Checklist

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

	Name of Person Responsible	Due by	Completed by
Preparation			
Pre-Arrival			
Identify scope of assessment (including supply chain HRH building blocks to be included)			
Identify team composition			
With the client, set dates for the assessment; confirm scope of work			
Prepare scope of work (team and local consultant, as needed)			
Build data collection source list and interview schedule			
Identify participants for the launch workshop; set time and date and send invitations; set agenda			
Schedule and arrange logistics for stakeholder workshop(s)			
Review background documents and initiate desk review			
Compile the *Public Health Supply Chain Profile*			
Arrange in-country travel; schedule interviews			
In-Country			
Confirm launch stakeholder workshop logistics, invitations			
Confirm or reschedule interviews			
Update data collection tool			
Implementation			
Daily: Team members review data collected and identify gaps; identify additional interviews required, if any and schedule with consultant; document names/titles of everyone interviewed			
Use document reviews and interviews to collect additional information needed to respond to client questions			

	Name of Person Responsible	Due by	Completed by
Analysis and Report			
Using diagnostic findings, data analysis table (strengths, area for improvement, opportunities, challenges) and root cause analysis, map possible interventions/reforms to address areas for improvement identified in assessment			
Prepare preliminary analyses and draft relevant sections for the report, including recommended potential activity areas and interventions			
Schedule and conduct follow-up interviews, as needed			
Liaise with any in-country program personnel to share and discuss findings and arrange a pre-departure debrief, if requested			
Schedule and conduct a pre-departure stakeholder workshop, if applicable			
Finalize report, including recommendations, based on input from the stakeholder workshop and mission staff			
Edit and format final report for approval by relevant client/ stakeholders			

Illustrative Human Resource Capacity Development for Public Health Supply Chain Management Assessment Budget

This budget is illustrative and can be modified to reflect a given assessment's unique needs.

Item/ Unit	Rate	Quantity	Total (Rate × Quantity)
Labor			
Team lead	$	2	$
Team member	$	2	$
Assessment coordinator	$	1	$
Driver	$	3	$
Subtotal			$
Travel			
Airfare – Team lead	$	1	$
Airfare – Team member #1	$	1	$
Airfare – Team member #2	$	1	$
Per Diem – international	$	3	$
Per Diem – local	$	1	$
Misc – visa	$	3	$
Subtotal			$
Logistics – Workshop			
Conference venue	$	1	$
Food	$	1	$
Audiovisual	$	1	$
Materials – printing	$	1	$
Materials – session management	$	1	$
Subtotal			$
TOTAL			

Persons Interviewed Template

Persons Interviewed

Name	Title	Organization/ Level	Contact Information	Supply Chain HRH Building Blocks Assessed

Launch and Validation Workshop Agendas

Launch Workshop Sample Agenda

Objectives:

- Describe the impact of human resources on supply chain management.

- Introduce the assessment tool objectives, HRH building blocks, and process.

- Describe the role of stakeholders in the assessment.

- Solicit stakeholder input and expertise on how to implement the assessment.

- Ask for a commitment to post-assessment implementation of findings.

Time	Session	Facilitator	Materials
8:30 am	Registration		
9 am	Welcome	Team leader or facilitator	Agenda, name tags, PPT handout of presentation
9:15 am	• Introductions • Overview of workshop objectives and agenda	Team leader or facilitator	PPT handout of presentation
9:30 am	Overview of human resource capacity development in public health supply chain management		
10 am	Overview of assessment components and HRH building blocks		PPT handout of presentation
10:30 am	Break		
10:45 am	Introduction to assessment process and data collection tool and methodologies		PPT handout of presentation
11 am	Present expected stakeholder inputs and level of effort commitments		PPT handout of presentation
11:15 am	Discuss stakeholder feedback on assessment facilitation during and post-implementation		
12 pm	Wrap up and lunch		

Validation Workshop Agenda

Objectives:

- Review assessment approach and data collection tool and methodology.

- Report on process and data collection sites.

- Present findings and recommendations and ask for input.

- Prioritize recommendations for implementation work plan.

Time	Session	Facilitator	Materials
8:30 am	Registration and Breakfast		
9 am	Welcome	Team leader or facilitator	Agenda, name tags, PowerPoint (PPT) handout of presentation
9:15 am	• Introductions • Overview of workshop objectives and agenda	Team leader or facilitator	PPT handout of presentation
9:30 am	Overview of assessment data collection process, tool, and collection sites		PPT handout of presentation
9:45 am	Present graphs, data analysis table and key findings by supply chain HRH building block		PPT handout of presentation
10:30 am	Break		
10:45 am	Present recommendations		PPT handout of presentation
11:15 am	In small groups: • Prioritize recommendations to be included in an implementation work plan		Guide for group discussions
12 pm	Present small group priorities to whole group for finalization		
1 pm	Wrap up and next steps		
1:30 pm	Lunch		

Illustrative Assessment Report Outline

Purpose of Assessment Report Outline

This report outline provides assessment teams with a format for presenting gathered data, analysis, and recommendations. The report should also include a description of assessment methodology and tools and an analysis of findings.

The report template and content categories are appropriate for all assessment participants. However, it can be more specific; it can also be modified in different ways, depending on the assessment.

Formatting the Assessment Report

The format for this report is for a generic assessment. It can also be modified, depending on the assessment and the formatting and branding requirements. The format is set to U.S. letter page formatting (8.5 × 11.0 inches), 11-point font, and one-inch margins.

The completed report is typically no more than 5–10 pages, excluding appendices and attachments.

Suggested Outline

Key content areas to consider including in the report:

1. **Acronyms.** Define all acronyms used in the assessment report the first time they are used. After first-use, use only the acronym.

2. **Acknowledgements.** Acknowledge everyone who provided significant support for the assessment; for example—

   • donors

   • ministry officials

   • implementing partners

   • participants

   • funders.

3. **Executive Summary (3–5 pages).** Describe the background and the impetus for the assessment. Provide a short, clear overview of the country profile, as well as both the supply chain and the human resource environment. Also, include a summary of key findings and recommendations for the HRH building blocks selected for the assessment.

4. **Background (1–2 pages).** Describe the objectives for the assessment.

5. **Country Overview (2–5 pages).** Include a brief overview of the demographics, government structure, and socioeconomic situation that could impact both the supply chain and the supply chain human resources.

6. **Methodology (1–3 pages).** Review the *HRCD for PHSCM Assessment* approach. Describe assessment-specific methodology and tools. Briefly include the following:

- **Data Collection Tool**

  – How did you use the data collection tool and the data collection process?

  – What human resource HRH building blocks did you select for the assessment?

  – How did the assessment team use the rating scale to assess the level of human resource development?

  – Do you have any illustrative graphics that are appropriate to depict the selected tool for the HRH building blocks?

- **Data Collection Process**

  – What was the composition of the team that carried out the assessment?

  – What data collection process did you use?

  – What places did you visit and what resources did you use?

  – Did you complete a profile of the respondents?

  – Do you have any illustrative graphics that are appropriate to depict the overall assessment process and/or timeline.

7. **Summary of Findings by HR Building Block Assessed (1–4 pages per building block)** Describe, in detail, the assessment findings for each HRH building block as it impacts the supply chain(s) assessed. Briefly include the following:

- **Impact of Findings by HRH Building Block**

  – What are the strengths, weaknesses, opportunities, and threats associated with each HRH building block assessed?

- **Impact of Findings on Supply Chain Management**

  – How did these strengths, areas for improvement, opportunities, and challenges impact the supply chain personnel capacity?

  – How did these strengths, areas for improvement, opportunities, and challenges impact the supply chain capacity compared to the supply chain personnel?

  – Do you have a snapshot of the assessment dashboard and/or individual dashboards for the supply chain HRH building blocks that you included in the assessment?

8. **Recommendations and Next Steps (1–4 pages).** Summarize the broader recommendations for each HR building block as they impact those supply chain(s) assessed. Briefly include the following:

- **Recommendations by Supply Chain HRH Building Block**

  – What recommendations do you have for the assessed supply chain HRH building block?

  – How do these recommendations impact the supply chain personnel capacity?

  – How do these recommendations impact the supply chain capacity compared to the supply chain personnel?

  – What resources were required?

- **Next steps**

  – Describe how the interventions and activities will be implemented.

  – Identify all responsible persons on the chat, including a timeframe for all activities.

9. **Appendices.** Consider including the following documents in the report appendix:

- data and data analysis

- supply chain HRH building block dashboard

- *Public Health Supply Chain Profile* survey data

- list of who was interviewed/included in focus groups and interviews

- any acquired documentation (i.e., job descriptions, competency models, training curricula, policies, etc.).

Appendix 1

Human Resource Capacity Development for Public Health Supply Chain Management Assessment: Diagnostic Dashboard

Click this link to download the Excel file from the USAID | DELIVER PROJECT website:
http://deliver.jsi.com/dlvr_content/resources/allpubs/guidelines/HRCD_SCM_Assess.xlsx

Data Aggregation

Comp 1 - Powerful Constituencies
Comp 2 - Policies and Plans
Comp 3 - Workforce Development
Comp 4 - Performance Management
Comp 5 - Professionalization

Component 1 - Powerful constituencies

Component 1 - Powerful constituencies

SCM HR Champion	0%
Relationship between 'Improved SCM HR & Access to Commodities'	0%
Commodity security stakeholder group	0%
SCM Personnel as Involved Participants	0%
SCM as a MOH Priority	0%

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Supply Chain Management as a MOH Priority	Supply chain management is a full-funded priority within a health strategic plan.	• What is the evidence of advocacy for supply chain issues at central level? • What is the evidence that supply chain activities are a high priority for the MOH? • Is funding for supply chain activities (e.g., training) a part of the MOH budget? • Have any supply chain assessments been initiated by MOH? • What is the level of government funding for supply chain specific leadership positions at MOH level?	
Supply Chain Personnel as Involved Contributors	Personnel with supply chain expertise guide and inform supply chain-related strategic, policy, programmatic, and funding decisions.	• Are supply chain personnel or managers key contributors to strategic or policy making groups at MOH level? • What are the examples of policies initiated by supply chain personnel at MOH level?	

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Commodity Security (CS) Stakeholder Group	A commodity security stakeholder group is led by the Government (i.e. MoH), meets regularly, and takes advocacy action.	• Are there any supply chain-specific CS groups at the central level? • Who leads these groups? • How often do CS groups meet? • Give examples of key decisions made or policies that the CS groups have designed and implemented.	
Relationship Between 'Improved Human Resource Management of Supply Chain Functions and Personnel' and 'Improved Access to Commodities'	The connection between improved human resource management of supply chain personnel and improved access to health commodities is clearly understood.	• What are examples of key human resource decisions that have been made by and for supply chain personnel? • What percentage of supply chain posts are completely filled and fully supported at central level? • How does the human resource division of the MOH support supply chain personnel?	
Supply Chain Management Human Resource Champion	Senior level champions for human resource supply chain management with sufficient budget, tools, and authority actively and fully empower the development of supply chain personnel.	• Can you identify any senior MOH personnel who advocate for the interests of supply chain personnel? • What is the level of empowerment of supply chain leaders at MOH levels to make significant human resource decisions? • Who leads supply chain personnel development at MOH level? • Does this person have sufficient funds to carry out development work?	

Component 2 - Policies and Plans

Component 2 - Policies and Plans

Supply Chain Management Succession Planning	0%
Supply Chain Management Workforce Planning	0%
Supply Chain Cadres Pay Scale	0%
HR Information System (HRIS)	0%
Supply Chain Management Procedures	0%
Supply Chain Management HR Budget Allocation - Lower Levels	0%
Supply Chain Management HR Budget Allocation - National	0%
HR policies	0%
Organizational Structure	0%
HR Strategy Which Addresses Supply Chain Management	0%

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Human Resource Strategy Which Addresses Supply Chain Management	A strategic plan that addresses human resource requirements for supply chain functions and personnel is authored and is fully implemented at all levels.	• Is there a MOH strategic plan for human resource management that explicitly addresses supply chain personnel? • How well is it disseminated? • Are supply chain personnel at lower levels aware of this plan? • What is the evidence of implementation of the human resource plan at lower levels of the supply chain?	
Organizational Structure	Supply chain organizational structure adequately supports supply chain functions and delivery requirements.	• What is the supply chain staffing structure? • Does the structure correlate with supply chain functions? • Is this structure applied at all levels? • Do administrative and organizational relationships clearly support supply chain requirements?	

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Human Resource Policies	Clear and detailed human resource policies are available and fully implemented and adhered to at all levels, guiding and supporting the management of supply chain personnel.	• Is there a guiding document for human resource policies? • Does this document include supply chain personnel? • How often are human resource policies reviewed? • Are supply chain personnel involved in the review process? • What is the level of implementation of human resource policies for supply chain personnel?	
Supply Chain Management Human Resource Budget Allocation - National	Distinct and permanent budget line item exists for supply chain human resource strengthening activities (i.e. training, incentives, coaching, performance management) at national level and has actual funding allocated to it.	• Is there a permanent budget line item for human resource development for supply chain personnel at the national level? • What are sources of funding for these activities? • What is the level of coordination of funding received from partners for supply chain personnel strengthening activities at the neational level?	
Supply Chain Management Human Resource Budget Allocation - Lower Levels	Distinct and permanent budget line item exists for supply chain human resource strengthening activities at lower levels (i.e. states, regions, districts, SDPs) and has actual funding allocated to it.	• Is there a permanent budget line item for human resource development for supply chain personnel at lower levels? • What are the sources of funding for these activities? • What is the level of coordination of funding received from partners for supply chain personnel strengthening activities at lower levels?	
Supply Chain Personnel Pay Scale	Pay scales for supply chain roles are well defined and easily accessed by staff. Scales are clearly linked to applicable competency models and job families and are used to guide annual performance-based salary adjustments.	• Is there a MOH pay scale? • Does it include supply chain personnel? • What is the pay scale for supply chain personnel? • is there a link between the pay scale and supply chain competencies? • Is there a link between salary adjustments and performance? • How often are salaries for supply chain personnel adjusted?	

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Supply Chain Management Standard Operating Procedures (SOPs)	SOPs for supply chain tasks are available and utilized at all levels.	• Are there SOPs for supply chain tasks at all levels? • What is evidence that these SOPs are followed? • How often are SOPs for supply chain tasks reviewed?	
Human Resource Information System (HRIS)	An HRIS system is regularly updated at all applicable levels and is used to make human resource decisions.	• What method is used to collect and maintain up-to-date human resource information on supply chain personnel? • How often is human resource information from supply chain personnel updated? • What level of access do policy makers have to human resource information for supply chain personnel?	
Supply Chain Management Workforce Planning	Workforce plans and planning are updated annually and used to inform recruiting and other staffing decisions.	• Are workforce plans used to guide staffing? • What is the evidence that this plan has been put in action? • How often are workforce plans updated?	
Supply Chain Management Succession Planning	Succession plans and planning are updated annually and used to inform recruiting, workforce development, and other staffing decisions.	• Is there a succession plan for supply chain personnel? • How is the succession plan used to inform recruiting? Career development? • What is the evidence that this plan has been put in action?	

Component 3 - Workforce development

Component 3 - Workforce development	
Supply Chain Recruiting Policies, Procedures, Tools	0%
Connection Between Supply Chain Cadre Recruiting and Workforce Planning	0%
Supply Chain Competencies and Frameworks	0%
Supply Chain Cadres Career Path	0%
Supply Chain Job Descriptions	0%
Supply Chain Training Coordination Body	0%
Supply Chain Training Strategy/ Implementation Doc	0%
Supply Chain Pre-Service Training	0%
Supply Chain In-Service Training	0%
Ability of Local Institutions to Provide Supply Chain Education and Training	0%
Supply Chain Curriculum Availability	0%

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Section A: Refers to Workforce Acquisition			
Supply Chain Recruiting Policies, Procedures, Tools	Recruiting policies, SOPs, and tools are robust and comprehensive.	• What procedure governs supply chain personnel recruitment (e.g., advertising, short-listing, first interview, etc)? • Are these procedures followed?	
Connection Between Supply Chain Personnel Recruiting and Workforce Planning	A centralized working group recruits based on a staffing, or workforce, plan.	• Describe how a workforce plan guides recruiting. • If there is no workforce plan, describe how recruiting takes place. • How is this related to the recruiting policies? • What are the specific actions that are taken to recruit personnel in order to fulfill the workforce plan? • Is there a centralized working group that coordinates recruiting of supply chain personnel? • How often does it meet?	

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Supply Chain Competencies and Frameworks	Competency frameworks are clearly defined for all supply chain positions at all levels, informing the creation of job families and job descriptions. Frameworks guide performance management and link to pay scales. They are reviewed annually.	• What supply chain competencies are required at each level? • Are competencies defined in a model or a framework and accessible to all personnel? • What is the linkage between competencies and pay scales? • How is performance management linked to supply chain competencies?	
Supply Chain Personnel Career Path	All supply chain roles have developed career paths linked to competency models and that are correlated with a pay scale.	• Explain the typical career path for supply chain personnel from the lowest level to the top of the organization. • What policies and procedures guide promotion? • Do promotions follow an anticipated succession plan? • Do pay scales reflect a clear career path?	
Supply Chain Job Descriptions	Job descriptions are authored for all supply chain roles at all levels; job tasks are based on applicable competency model and are used for recruiting.	• Do all supply chain personnel have a job description? • Are they linked to competency models/frameworks? • How often are these job descriptions updated? • Please provide examples of job descriptions.	
Supply Chain Training Coordination Body	At each level a person or persons is identified to track and enroll supply chain personnel in appropriate education opportunities. More specifically, at central level a training unit informs the content of both pre- and in- service supply chain-related training as well as internally developed and administered training. The unit ensures that all trainings are linked to competency models and support performance management objectives. The training unit has a funded budget line item.	• How do supply chain personnel access training opportunities? • How do supply chain personnel learn about training opportunities? • Who coordinates the training? • Is it possible to track the number of trainings that supply chain personnel have attended in the last year?	

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Supply Chain Training Strategy/ Implementation Document	A training strategy that identifies available education opportuntiies identifies skill-building training requirements for all supply chain roles which are linked to respective competency models. This is available at all levels for all supply chain roles.	• Is there a training calendar or plan for supply chain-related training opportunities? • Who creates this calendar or plan? • How often is it reviewed?	
Supply Chain Pre-Service Education	Pre-service supply chain coursework or university course of study is developed to build competency in supply chain functions and management and is required for graduation for those personnel which will have supply chain responsibility on the job.	• What are the opportunities for pre-service education for future supply chain personnel? • What supply chain courses are available in the curriculum of potential supply chain personnel in training institutions? • What level of training in supply chain management is required for supply chain personnel before they are employed?	
Supply Chain In-Service Training	In-service training (whether internally or externally developed and administered) is available; training for supply chain roles are linked to competency models and support career growth and promotion. Funding for developing and/or for staff to access in-service training is available.	• What in-service training opportunities are available for supply chain personnel currently employed? • Is there a training program in supply chain management for current employees? • Is training linked to required competencies?	

For academic institutions only

TABLE 7: Ability of Local Institutions to Provide Supply Chain Education

HRH Building Block Dimension	Defintion of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Ability of Local Institutions to Provide Supply Chain Education and Training	Faculty teach supply chain content in all applicable institutions. Curricula are harmonized by the MOH and to supply chain role competency models; scheduled trainings are well resourced and take place regularly.	• How often do local institutions provide supply chain training courses? • Do the courses reflect the priorities of the MOH? • What is the level of contribution of the MOH to the curriculum development for supply chain courses available in local institutions?	
Supply Chain Curriculum Availability	Supply chain curriculum is developed in coordination with a local institution and is implemented. Completion is a requirement for graduation and/or licensing and/or a pre-condition for employment.	• Is there a local body that coordinates the education of supply chain personnel? • What is the evidence that this body considers MOH supply chain priorities? • Is completion of supply chain training a pre-requisite for employment in supply chain positions?	

Component 4 - Performance management

Component 4 - Performance management

Performance Management Policies, Procedures, Tools	0%
Staff Development Plans	0%
Retention and Performance Incentives	0%
Supervision Guidelines and Implementation	0%
Mentoring and Coaching	0%

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Performance Management Policies, Procedures, Tools	Performance management policies, procedures, and tools are robust and comprehensive and utilize developed competency frameworks to assess employees and developed salary scales and incentive programs to award performance-based salary adjustments and reward employees.	• What procedure is followed when assessing performance? • How often is the performance of supply chain personnel reviewed? • What kinds of actions are taken after review? • How often are results of the review implemented?	

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Staff Development Plans	A performance development plan exists for all supply chain personnel. Staff co-create their plan with their supervisor and it is regularly reviewed in coordination with the performance assessment process.	• Are there performance development plans for supply chain personnel? • How are they developed? • How often are performance development plans for supply chain personnel reviewed? • Are supply chain personnel involved in the development and review process?	
Retention and Performance Incentives	A retention strategy is developed and coordinated with the performance management process and initiatives are being implemented. Retention initiatives are developed, funded, and linked to the performance management system.	• What strategies have been developed to keep supply chain personnel motivated? • Is there a MOH staff retention scheme that includes supply chain personnel? • How is the staff retention scheme linked to performance management? • What are examples of performance incentives for supply chain personnel?	
Supportive Supervision Guidelines and Implementation	Clear, transparent supervision guidelines are operational and administered in coordination with performance management processes; scheduled supportive supervision visits occur regularly. Actions from these visits are followed up on and feedback is documented.	• What are the guidelines for supervision of supply chain personnel at all levels? • Are there scheduled supervision visits for supply chain personnel? • What are examples of actions that have been taken following supervision visits?	
Mentoring and Coaching	A formal coaching and mentoring program is fully implemented for growing both technical and managerial skills at all levels. Mentoring and coaching is based on either a performance development and/or succession plan.	• What opportunities exist for formal mentoring and coaching of supply chain personnel? • What is the link between coaching/mentoring and the succession planning process? • Are there examples of supply chain personnel who have been promoted following mentoring and coaching?	

Component 5 - Professionalization

Component 5 - Professionalization

Supply Chain License	0%
Supply Chain Certificate	0%
Supply Chain Coursework Included in Health Care Degree Programs	0%
University Degree Program as Pre-requisite for Employment	0%
Supply Chain Role as a Professional Role	0%
Supply Chain Associations	0%

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Supply Chain License	A professional license to work in a supply chain management position is defined, approved, and administered and is a prerequisite for employment in a supply chain position.	• Is there a licensing program (international or national) for supply chain personnel? • is it a requirement for employment for supply chain positions? • Are these recognized for promotion?	
Supply Chain Certificate	A supply chain certificate program to work in a supply chain management position is defined, approved, and administered and is a prerequisite for employment in a supply chain position.	• Is there a certificate program for supply chain personnel? • Is a supply chain certificate a requirement for employment in some supply chain positions? • How are supply chain certificates obtained?	

STEP 1	STEP 2	STEP 3	STEP 4
HRH Building Block Dimension	Definition of "Fully Developed"	Sample Questions for Determining Development Stage	Development Stage
Supply Chain Coursework Included in Health Care Degree Programs	Supply chain curricula for nursing, labs, medical, pharmacy and health policy students are compulsory component of a degree or diploma program.	• Is supply chain curriculum included in applicable health care degree programs?	
University Degree Program as Pre-requisite for Employment	Supply chain university course of study is a prerequisite for employment in a supply chain position.	• Are supply chain courses at a university level required for employment? • What supply chain positions have a university degree in supply chain as a requirement for employment?	
Supply Chain Role as a Professional Role	Supply chain tasks fall within the boundaries of a formal supply chain role and are completed by a dedicated and licensed or otherwise formally trained supply chain manager.	• How many dedicated supply chain managers are employed in the supply chain? • At what levels of the supply chain are they? • What are the formal supply chain positions in the organization? • What is the level of training of supply chain personnel filling them?	
Supply Chain Associations	International supply chain associations are established with local chapters organized and participation is linked to job descriptions and incentive programs.	• What are the local and international supply chain associations that are available for supply chain personnel? • Is there any formal help for supply chain personnel to join? • How does membership to associations contribute to supply chain personnel performance evaluation?	

Appendix 2

Assessment Team Training Workshop: Trainers' Manual

Introduction

Overview and Purpose of the Trainer's Manual

This document is a trainers' manual designed to guide assessment leads as they train assessment data collectors in how to conduct a *Human Resource Capacity Development for Public Health Supply Chain Management (HRCD for PHSCM) Assessment*. The guide contains step-by-step instructions for how the trainers should conduct the workshop as well as needed assessment materials.

This training workshop should take place the first week in country in order to make sure that the assessment team will gather data in a uniform way that is consistent with research and data gathering best practices.

Participants

The participants for this training are expected to be the data collectors who will carry out the interviews and focus group discussions necessary for obtaining data for this tool. These data collectors are members of the assessment team and may be in-country supply chain managers representing various levels and functions as well as representatives from donors, implementing partners, and/or other assessment stakeholders.

Prior to attending the workshop each participant should receive copies of all reference materials collected in preparation for the assessment. It is expected that they will have reviewed these documents in advance. They should also have received a copy of the assessment guide.

Training Methodology

The training is conducted in a workshop format. All session times are estimates based on earlier training experience, and they may vary slightly by country. The workshop uses the principles of adult learning and is highly participatory, with a mix of presentations, small group tasks, role-playing, and plenary discussions.

Workshop Objectives

As stated, the purpose of this workshop is to prepare the data collectors to collect data using the assessment approach and tool. Specific workshop objectives include:

- Explain the context and rationale for the assessment

- Demonstrate mastery of the data collection tools, collection processes, and dashboard

- Demonstrate mastery of analyzing data and developing recommendations and an implementation plan for recommendations

- Demonstrate ability to give and receive constructive feedback and the ability to work as a member of an assessment team

Sample Workshop Schedule

The following is a proposed schedule for the assessment training workshop. This schedule should be modified as appropriate in order to meet the needs of the participants.

Day 1

Time	Activity
8:30 am	Participants arrive and register
9:00 am	Session 1: Workshop Welcome
9:45 am	Session 2: Assessment Introduction and Overview
10:30 am	Coffee/Tea Break
10:45 am	Session 3: Assessment Process
12:00 pm	Lunch
1:00 pm	Session 4: Data Collection Tool
2:15 pm	Session 5: Data Collection Tool Development
3:15 pm	Coffee/Tea Break
3:30 pm	Session 5: Data Collection Tool Development , Continued
4:30 pm	End of Day Wrap Up

Day 2

Time	Activity
8:30 am	Welcome
9:00 am	Session 6: Data Collection Practice
10:30 am	Coffee/Tea break
10:45 am	Session 6: Data Collection Practice, Continued
12:00 pm	Lunch
1:00 pm	Session 7: Data Analysis and Reporting
3:00 pm	Workshop Wrap Up

PowerPoint

A CD included with this trainer's manual contains electronic PowerPoint versions of all the materials that the trainers will present to the participants. These include all task instructions, presentation materials, and instruments.

Workshop Venue

The workshop will generally be conducted in a venue that is affordable, convenient, and appropriate for training. The site should have a large training room that can accommodate small breakout groups without overcrowding. The venue should also have a projector and screen for PowerPoint presentations.

Evaluation of Workshop

At the end of the workshop, the participants will fill out a short evaluation questionnaire.

Session 1: Workshop Welcome

Session Objectives:

By the end of the session participants will be able to:

- Explain the objectives of this workshop

- Express expectations and relate them to the objectives of the workshop

- Decide on and agree to group norms for the workshop

- Find and refer to the workshop schedule

- Find and refer to the HRCD for PHSCM assessment guide and the data collection tool

Time: 45 minutes

Materials: Flip charts, markers, tape, paper and pens for participants

Handouts: Workshop PowerPoint slides, HRCD for PHSCM assessment guide and tool

Trainer Preparation:

- Review applicable slides

- Prepare a flip chart on "Expectations"

- Prepare the flip chart on "Group Norms"

- Prepare a flip chart for a "Parking Lot"

Learning Activities Summary:

Title	Type	Time
Welcome and Introductions	Lecture, Paired Discussion, and Large Group Discussion	15 minutes
Set Expectations	Lecture, Paired Discussion, and Large Group Discussion	15 minutes
Review Goals and Objectives	Lecture	5 minutes
Review Schedule and Group Norms	Lecture and Large Group Discussion	10 minutes

1. Welcome and Introductions

If possible, the welcome statement should be given by a representative of the Ministry of Health or a technical partner agency that will be leading the supply chain human resource capacity development and management assessment process.

Suggested points for the welcome include:

- Tell participants that we are pleased to have this opportunity to prepare them to carry out an assessment of human resource capacity development for supply chain management in their country

- Stress the importance of the activity in addressing the critical shortage of qualified personnel for supply chain management in public health in the country

- Discuss the importance of the data collection training in the assessment process.

After welcoming the participants, display PowerPoint slide 2. Review the objectives of this session.

Display PowerPoint slide 3.

Hand out a basket with numbers (be sure to have two sets of each number) and ask each participant to pick one. Now tell them to look for a colleague with a similar number and prepare to introduce each other using the following guidelines:

- Name

- Designation

- Station

- 1 thing that interests you about human resource management

- 1 expectation for this workshop

As expectations are shared, note them on a flipchart paper. Ask for any clarification as needed.

Trainers should introduce themselves with similar information.

2. Set Expectations

Explain that in order to be sure we all share a common vision for their work during this training, we would like to give them some time to share the expectations they bring to the workshop and that we will also share our expectations for the workshop.

Review expectations as recorded on the flipchart paper. Identify similarities and ask for additional detail where needed. Note if and how expectations may be met, and correct any unreasonable expectations.

3. Review Workshop Objectives, Guide, and Tools

Display PowerPoint slide 4. Review workshop objectives as noted on the slide.

Ask participants if they have any questions or were surprised by any of the objectives. Relate the objectives to the expectations.

Ask participants to locate their assessment guide. Tell them that we will spend time looking at this guide during the next sessions. Explain to the participants that they will use the guide to collect and analyze data for the assessment.

Display PowerPoint slide 5.

4. Review Schedule and Group Norms

Display PowerPoint slides 6 and 7. Review the schedule, particularly pointing out the opening, ending, break, and lunch times. Note the intensity of the workshop and the expectation that every participant will fully participate in every session.

Show the flip chart entitled 'Group Norms' and discuss the first three items on the list.

Group Norms

- Participation: on time and in all sessions

- Listen with respect and participate fully

- No cell phones

Ask the group any additional group norms for the workshop. Be sure that all participants contribute to the norms. Write the norms on the *Group Norms* flipchart after everyone has agreed to them. Post the flip chart where it can be seen by everyone. Spend no more than 5 minutes developing this list.

Point out the flipchart entitled "Parking Lot" and mention that we will use this flipchart to keep track of any topics that are raised outside of the topic of discussion and that can be discussed during the workshop when there is time available.

Session 2: Assessment Overview

Session Objectives:

By the end of the session participants will be able to:

• Understand and explain the relationship between human resources and supply chain management

• Name the five building blocks of human resource capacity and how they relate to building a productive workforce for supply chain management

• Understand the purpose of the assessment guide and tool

Time: 45 minutes

Materials: None

Handouts: None

Trainer Preparation:

• Review applicable slides

Learning Activities Summary:

Title	Type	Time
Introduce Session	Lecture	5 minutes
Discuss Relationship Between HR and Supply Chain Management	Lecture and Large Group Discussion	10 minutes
Review the HRH Building Blocks of the Assessment	Lecture and Large Group Discussion	10 minutes
Discuss the Purpose of the Assessment Guide and Tool	Lecture and Large Group Discussion	20 minutes

1. Introduce Session

Display PowerPoint slide 8. Review session objectives as noted on the slide.

Ask participants to open the *HRCD for PHSCM Assessment Guide* to section 1. Nominate one person to read the first paragraph under 'background'.

2. Discuss the Relationship Between HR and Supply Chain Management

Display PowerPoint slide 9.

Explain to the participants the six rights of human resource for supply chains: an effective supply chain involves engaging the *right people* in the *right quantities* with the *right skills* in the *right place* at the *right time* to implement the procedures that direct supply chain operations and ensure the supply of health commodities.

Ask one person in the group to explain how they have experienced the six rights of supply chain human resources.

Ask whether participants have heard about the People That Deliver (PtD) initiative.

Explain that this is a global joint initiative between governments and organizations aimed at strengthening supply chain personnel capacity while also promoting the professionalization of their role within the health system. This global initiative, in association with the USAID | DELIVER PROJECT, has developed a *Human Resource Capacity Development for Public Health Supply Chain Management Assessment Guide and Tool* to gather data on human resource opportunities and challenges associated with supply chain management. Data collected through this assessment is expected to strengthen supply chain personnel capacity by informing host country efforts to build applicable human resource systems and advocate for the professionalization of supply chain management.

Display PowerPoint slide 10.

Describe the components of a supply chain, including: Organization and Staffing, Logistics Management Information System, Product Selection, Forecasting, Procurement, Inventory Control Procedures, Warehousing and Storage, Transport and Distribution, Organizational Support, Product Use, and Finance/Donor Coordination/CS Planning.

Explain the impact of human resources on supply chain performance. Describe how effective management of the supply chain demands excellence in managing its human resources. By proactively managing human resource procedures, policies, and practices associated with managing people an organization will strengthen supply chain strategies and functions that sustain supply chain performance.

Ask participants for definitions of human resource management. When finished discussing, define human resource management (HRM) as:

> The integrated use of procedures, policies, and practices to recruit, maintain, and develop employees in order for the organization to meet its desired goals.

Robust HRM is defined by a strategy which allows an organization to systematically address the dynamics of the health workforce across the working lifespan – from entry to development and performance and then exit. By providing a clear definition of each employee's responsibilities as they link to an organization's mission and building the policies and systems needed to enable those responsibilities, HRM can increase the capacity of an organization and, a supply chain.

Ask participants how they have seen human resource management impact supply chain performance.

3. Review the HRH Building Blocks of the Assessment

Display PowerPoint slide 11.

Ask participants to turn continue reading in section 1 of the guide to learn about the five components, or building blocks, of human resource for health (HRH):

- *Powerful constituencies* describes technical leadership in the field of supply chain management, advocacy, communication strategies, and coalitions.

- *Policies and plans* describes strategies, policies, and procedures that have been put in place to optimize health teams, financing, HRM, and human resource information systems (HRIS).

- *Workforce development* describes mechanisms for sourcing and recruiting, competency modeling and development, pre-service education, and in-service education.

- *Performance management* describes mechanisms for evaluating the workforce, retention, supervision, mentoring, coaching, and productivity.

- *Professionalization* describes strategies and organizations which seek to develop a competent and professional cadre of supply chain professionals at all levels in the supply chain.

Together these building blocks determine the most effective ways to attract, motivate, develop, and retain new and existing talent given the supply chain environment by defining a set of key people initiatives to support the overall health systems requirements. By nurturing these building blocks, the opportunity to create, build, and professionalize public health SCM cadres should arise and support sustained supply chain performance.

Tell participants that each of HRH building blocks are measured in the assessment tool. The results are put together in an excel-based tool. We will go into more details about the tool and assessment in later sessions.

4.   Discuss the Purpose of the Assessment Guide and Tool

Display PowerPoint slide 12.

Tell participants to refer to the "Purpose of the Assessment" (section 1).

Ask a participant to read out the first objective:

> *"Document the capacity of a country's public health supply chain human resource management."*

Explain that data gathered from this assessment will help countries to understand the current capacity of human resources for supply chain management. This will serve as a baseline for assessing any improvements if interventions for HR for supply chain management are implemented.

Ask a participant to read out the second objective:

> *"Identify where and how to improve supply chain performance through the effective human resource management of supply chain personnel."*

Explain that key to building capacity is deciding where to focus activity, time and budget. An effective human resource strategy does this by defining a set of initiatives that are critical to building capacity of supply chain professionals to contribute to the overall success of an organization or system.

Ask a participant to read out the third objective:

> *"Document professionalization efforts of personnel working across a country's public health supply chains."*

Explain that key to building capacity is to develop a recognized group of professionals who are capable of executing relevant supply chain tasks at all levels.

Remind participants that participation in this assessment is not in any way an evaluation of employee performance or to act as substitute for a supervisory visit.

Session 3: Assessment Process

Session Objectives:

By the end of the session participants will be able to:

• Describe the process and timelines for the assessment

Time: 75 minutes

Materials: Flipchart, markers

Handouts: Activity Phrase Notes

Trainer Preparation:

• Review applicable slides

• Be ready to define the actual timeline for this assessment when defining the timeline concept

• Be ready to describe the actual scope of this assessment when describing the scoping process

Learning Activities Summary:

Title	Type	Time
Introduce Session	Lecture	5 minutes
Introduce Assessment Process	Lecture	10 minutes
Review Phase 1: Develop Assessment Scope	Lecture and Group Work	20 minutes
Review Phase 2: Build Assessment Process and Tool	Lecture	15 minutes
Review Phase 3: Collect Data	Lecture	15 minutes
Review Phase 4: Analyze Data	Lecture	10 minutes

1. Introduce Session

Display PowerPoint slide 13. Review session objectives as noted on the slide.

2. Introduce Assessment Process and Schedule

Display PowerPoint slide 14.

Name the four phases of the assessment and explain that you will review each phase in detail in this session.

Explain that, using an evaluative process, this assessment is designed to gauge the functioning of human resource system and its contribution to overall supply chain performance. Comprised of four phases -- scope, build, collect, and analyze and report – this assessment process provides a flexible approach to determining the current status of and informing recommendations for strengthening the human resource system capacity within a supply chain context.

Display PowerPoint slide 15. This is a generic timeline – as it is reviewed, correlate it to the actual timeline for *this* assessment.

3. Review Phase 1: Scope Assessment

Display PowerPoint slide 16.

Thorough preparation is essential to the success of the assessment. Understanding the scope of the assessment, identifying the required inputs, and engaging stakeholders are key to preparation and provide a solid framework to guide data collection and inform analysis. These activities comprise **Phase 1 – Scope the Assessment**. *Explain that these activities are completed.*

List the five steps of this phase.

- **Develop an assessment scope** – a successful assessment is grounded in a clear, feasible scope of work agreed upon by both the client and assessment team. Typically, the MOH and/or a donor will request an assessment and will be the primary client(s) for the assessment. The first step in implementing the assessment is to shape it through discussions with this client.

Ask participants to brainstorm key components of the assessment scope. Note answers on flipchart paper.

Display PowerPoint slide 17.

Now, review the definition of each component of an assessment scope and then state how each component is applied in **this** country's assessment.

- **Purpose –** together the assessment team and client partner will *identify and confirm the purpose of the assessment*. Both groups should discuss and identify MOH goals for the supply chain and how the assessment might contribute to achieving these goals, the level of cooperation the team will need from the MOH, and the types of outcomes the MOH expects. A specific purpose will guide the approach, data collection, and application of assessment findings to ensure that the sum result is a strengthened supply chain. They will also identify any supporting or constraining environment factors to accept the results and implement the recommendations.

- **Mandate** – the assessment mandate identifies the supply chain(s) that will be included in the assessment as well as the number of HRH building blocks to be included. While it is recommended that all five HRH building blocks be included, all five are not required. Both should be determined based on the overall purpose for conducting the assessment.

- **Scope –** the *number of HRH building blocks to be included* in the assessment should be identified. While it is recommended that all five HRH building blocks be covered, it is not required. Additionally, the scope of work should define the supply chain(s) to be included in the assessment.

- **Timeline –** a *timeline* should be established for the assessment as well as the deliverable completion dates. It is anticipated that it will take approximately 5 weeks total and 3 weeks in-country to complete the assessment. This timeline should be confirmed and modified as appropriate.

- **Desired skills of assessment team members –** *skills and skill levels desired for assessment team members* should be described in the scope of work. Additionally the numbers of assessment team members should be identified. Should all five HRH building blocks be included in the assessment then a team of at least four to five is recommended to manage workload. The expertise of the team members, availability of data, and type and level of final report requested will also influence the team members required (as well as the timeframe).

Resources are also identified at this point in the assessment.

- **Build the assessment team** – assessment skills and skill levels are delineated in the scope as are the number and capacity of people required to fulfill these roles identified. You are members of this team.

Display PowerPoint slide 18.

- **Engage stakeholders** – assessment success is dependent upon stakeholder support and involvement. As a part of the development of the scope and assessment preparation, the team should identify stakeholders and a way forward for involving them in the assessment. Stakeholders are at every level of the supply chain and will also include organizations outside the Ministry of Health, for example, which may regulate human resource functions.

Stakeholders can be involved in a number of ways. Discuss these ways, as described on the slide, and how they apply to this assessment. List those stakeholders who have already been engaged in the process and who helped inform the assessment scope.

Display PowerPoint slide 19.

- **Compile reference documents** – once the scope is identified, the assessment team begins compiled reference materials on the country, supply chain, and human resource context. Explain that these documents are collected and that these are the documents that they have already received.

- **Build *Supply Chain Profile* –** to develop a complete understanding of the supply chain being assessed, a profile survey is issued and completed by key stakeholders.

Distribute the *Supply Chain Profile* completed for this assessment to participants. Explain who contributed to this survey. Review key data points. Explain that participants will reference this survey in an exercise later in the workshop.

4. *Review Phase 2: Build Assessment Process and Tool*

Display PowerPoint slide 20.

Explain that once Phase 1 is complete, the assessment team progresses to **Phase 2 – Build Assessment Process and Tool**. In this phase, the assessment team builds the data collection plan and tool and then implements it.

Briefly review each of the activities:

- **Conduct assessment team training workshop –** with initial preparation completed the assessment team should be trained in how to conduct the assessment. Explain that this training that is being conducted now is this step.

- **Build data collection plan –** as a part of the process definition, the geographic focus, sites, and number of key informants must be identified. Explain that participants will be designing this collection plan in a later session in this workshop.

- **Adapt data collection tool –** to gather the requisite data, a data collection tool has been developed (which the participants have in the guide); it should be adapted to the specific needs of this assessment. Explain that participants will be adapting the tool in a later session in this workshop.

This tool is multi-pronged and is used to assess the development stage for the human resource systems, policies, and procedures impacting supply chain management. The four components are:

Display PowerPoint slide 21.

1. **Reference Document Review –** background documents and reference materials reviewed to provide context. *Explain that this has already taken place and that all participants should have copies already of each of the reference materials.*

2. **Supply Chain Profile –** a questionnaire designed to create a profile of the supply chain(s) being assessed (one is filled out for each unique supply chain assessed). *This is the profile that they already have.*

3. **Diagnostic Dashboard –** scoring tool used to define the development stage of each HRH building block. It is comprised of questions that are contained in both Word and Excel format (Section 3 of the assessment guide).

4. **Supplemental Survey (optional) –** each is designed to gather data needed to supplement the *Diagnostic Dashboard* data with context and detail, where needed. This tool component is optional in part or entirety.

For each informant or group of informants, a data collection methodology (e.g., interview or focus group) is identified.

Explain that the tool will be reviewed in greater detail in a later session in this workshop.

5. Review Phase 3: Collect Data

Display PowerPoint slide 22.

Explain that the next phase to follow, **Phase 3 – Collect Data,** is a multi-step process:

- **Conduct launch workshop** – the assessment team will meet with stakeholders prior to the assessment to inform and solicit the support and participation of in-country stakeholders. Stakeholders must understand why the assessment is taking place as well as any expectations that the team may have for them post assessment for the assessment to succeed. This meeting will take place in a workshop format.

Describe when this workshop will take place for this assessment and who will attend. Assign any necessary roles and responsibilities associated with the workshop.

- **Collect data** – with preparation completed and the tool readied, data is now collected.

Remind participants that participation in this assessment is not in any way an evaluation of employee performance or to act as substitute for a supervisory visit.

Display PowerPoint slide 23.

Review the data collection steps and explain that, using the tool, data is collected and informants determine the development stage of each HRH building block for the assessed supply chain.

The review the following data collection points:

- Additionally, as data is collected, it is expected that the tool be used with consistency.

- Data should also be reviewed on an on-going basis and formally mid-way through the assessment and/or prior to moving to additional levels. This is so that the remaining data collection can be used to:

  1. Fill any new information gaps;

  2. Validate initial conclusions and recommendations with stakeholders; and

  3. Receive feedback.

Finally, explain that when conducting interviews and focus groups, data collectors should obtain 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 a copy will allow for independent evaluation of the contents of the document and serve to confirm the informant's interpretation of the contents.

6. Review Phase 4: Analyze Data

Display PowerPoint slide 24.

Explain that during the final phase, **Phase 4: Analyze Data and Report Findings**, data is analyzed, findings determined, and recommendations and an implementation plan developed.

Display PowerPoint slide 25.

- **Analyze data** – from the interviews and focus groups are cleaned and analyzed, and validated. As data is analyzed, it is organized into "strength" or "areas for improvement" or "opportunity" or "challenges". Root causes are identified. Where needed, data is validated through re-interviewing.

- **Develop recommendations** – from validated data the assessment team develops recommendations. Some recommendations may be narrowly defined according to a specific HRH building block and others may cut across building blocks. All recommendations should be grounded in assessment analysis and findings.

- **Validate findings and recommendations** – findings and recommendations must be validated to ensure broad ownership of and action post assessment. Validation should take place with two primary types of stakeholder groups: Assessment sponsors and stakeholder community: assessment sponsors and stakeholder community.

Explain to participants how this will take place (e.g., "validation workshop" as described in the assessment guide, section 2).

- **Develop implementation plan** – once validated, the assessment team finalizes recommendations and provides a proposed implementation plan for realizing recommendations.

- **Report findings and recommendations** - the final assessment output is a report. A report should provide an overview of the assessment data collection tool, methodology, and sources. It should also present findings and recommendations.

Explain that these steps will be discussed in greater detail later in the workshop.

Session 4: Data Collection Tool Introduction

Session Objectives:

By the end of the session participants will be able to:

• Confidently use the data collection tool

• Define the data collection tool components and purposes

Time: 75 minutes

Materials: Flipchart, markers

Handouts: *Diagnostic Dashboard* Excel Tool

Trainer Preparation:

• Review applicable slides

• Prepare copies of *Diagnostic Dashboard* Excel Tool and *Supplemental Surveys*

Learning Activities Summary:

Title	Type	Time
Introduce Session	Lecture	5 minutes
Introduce Data Collection Tool	Lecture	20 minutes
Review Data Collection Tool - Diagnostic Dashboard	Lecture and Group Work	35 minutes
Review Data Collection Tool - Supplemental Survey	Lecture	15 minutes

1. Introduce Session

Display PowerPoint slide 26. Review session objectives as noted on the slide.

Explain that this session will be very interactive as they will be introduced to and then practice using the assessment data collection tool.

2. Introduce Data Collection Tool

Display PowerPoint slide 27.

The assessment tool is comprised of four components – each designed to gather unique information that together assess the development stage for each HRH building block impacting supply chain management:

• **Reference Document Review –** background documents and reference materials reviewed to provide context. *Explain that this has already taken place and that all participants should have copies already of each of the reference materials.*

• **Supply Chain Profile –** a questionnaire designed to create a profile of the supply chain(s) being assessed (one is filled out for each unique supply chain assessed). *This is the profile that they already have.*

• **Diagnostic Dashboard –** evaluation tool used to define the development stage of each HRH building block. It is comprised of questions that are contained in both Word and Excel format (Section 3 of the assessment guide).

- **Supplemental Survey (optional) –** a survey designed to gather data needed to supplement the *Diagnostic Dashboard* data with context and detail, where needed. This tool component is optional in part or entirety.

Remind the participants that the assessment is designed to assess the development stage of the human resource environment as it impacts supply chain. With an accurate assessment of human resource capacity development, individuals and organizations can:

- Identify and respond to those areas of human resource management that impact the capacity of supply chain personnel, either positively or negatively, and therefore supply chain performance.

- Gather good baseline data for future assessments to be measured against. As such the assessment team should consider future follow-up assessments and long-term data needs when selecting data collection tools.

Collected data is analyzed and informs recommended interventions that will, ultimately, mature HRH building blocks to the desired level needed to build the capacity of and professionalize personnel across the supply chain and, ultimately, improve supply chain effectiveness.

Display PowerPoint slide 28.

Explain to the team that, prior to the workshop:

- Reference documents were collected and all participants should have already read them.

- The *Supply Chain Profile* was distributed to key host country managers for completion.

- During data collection the *Diagnostic Dashboard* and *Supplemental Surveys* are administered to collect data.

3.   Review Data Collection Diagnostic Dashboard

Distribute the *Diagnostic Dashboard* to participants.

Explain to participants that the *Diagnostic Dashboard* is the third component of the assessment tool. It is an Excel-based rating tool and it is used to define the stage of development of each HRH building block. Each HRH building block is broken down into dimensions in the *Dashboard* which represent the various aspects of a given HRH building block. Each dimension is rated on a "development scale" of 0 to 4, where 0 means that a dimension does not exist and 4 means that the dimension is fully developed.

Display PowerPoint slide 29.

Understanding the development stage of an HRH building block is essential to the assessment. Interventions designed to strengthen, expand, and mature HRM operations are selected based on the current stage with the intention of advancing the HRH building block to the next.

Each HRH building block has a unique worksheet in the Excel-based dashboard where data collectors assess and record the development stage score. Using the established rating scale as displayed in table 1 in the guide and at the bottom of slide 29, respondent(s) determine the development stage of each HRH building block dimension. To determine the development stage, the assessor leads respondent(s) through a 4-step process:

- **Step 1: Provide "HRH Building Block Dimension."** Each HRH building block is comprised of individual descriptive dimensions. Dimensions are indicators which together make up the larger HRH building block. The assessor states the HRH building block dimension to the respondent(s).

- **Step 2: Read "Definition of 'Fully Developed."** Each HRH dimension has a definition for what it means to be "fully developed". It is against this definition that each dimension is scored on a 0 (dimension does not exist) to 4 (dimension is fully developed) scale. The assessor reads the definition of "fully developed" to the respondent(s) so that s/he or they can use the rating scale to select the rating that best describes how well the dimension meets that definition.

- **Step 3: Confirm Development Stage Using "Sample Questions for Determining Score."** To ensure that respondents select the appropriate score, each dimension has additional validation questions. Respondents are asked these questions to provide him/her/them an opportunity to thoroughly discuss the dimension and appropriately assign the development stage.

- **Step 4: Determine "Development Stage."** Based on the rating scale provided in table 1 and in relation to that dimension's definition of "fully developed", each dimension is rated from 0 to 4. The score is inputed into the Excel file.

Scores from each unique HRH building block dimension are aggregated by HRH building block and displayed in a dashboard (as displayed in figure 6 in the guide).

Display PowerPoint slide 30.

Explain that as values (0, 1, 2, 3 or 4) are inputed into the Excel file, they are displayed in a dashboard which depicts the stage of development. If the dimension is missing or undeveloped (score = 0), that dimension will be white on the dashboard. If the dimension is complete or fully developed (score = 4), the dimension will be fully colored on the dashboard. If a dimension is in development (score = 1, 2 or 3), then the dimension will be partly colored.

The dashboard has a collection of graphs which *self-populate* and *self-aggregate* automatically once data is entered into the Excel tool in the "Step 4" column. Therefore, the assessment team will not have to do any data analysis once all the results are entered. The main graph on the dashboard is a petal graph. This graph gives an overview of the supply chain HRH building block at a macro level by displaying the relative level of completion of the building block in distinct colored petals. The size of the petals represents the percentage completion of the HRH building block.

The *Diagnostic Dashboard* is also accompanied by selected survey questions which can be found in section 3 of the guide. These questions are designed to gather the necessary contextual data for a given HRH building block and should be asked at the same time that development stages are scored.

Inform participants it should take informants approximately one hour to complete the questions in this tool component.

Data may also be gathered at different levels within the supply chain. At the conclusion of data gathering, data from within a given level is aggregated so that each supply chain HR dimension and each HRH building block has a ***single score per level***. Scores from different levels from within the supply chain are not aggregated together. Although there may be some recommendations that apply to the entire supply chain HR system, each level should retain its own score since findings and recommendations may and will also vary depending on the level. There will be a ***unique Dashboard for each level*** included in the assessment.

Now take the participants to a practice Dashboard. Enter ratings into the Excel worksheet and show them how them how data from each HRH building block is aggregated and displayed.

Ask participants to review this tool component.

After they have reviewed it, solicit questions and discuss observations.

4.   *Review Data Collection Supplemental Survey*

This part of the tool is optional.

For selected HRH building blocks an additional survey has been developed. Questions are designed to gather data needed to supplement collected data with context and detail where needed. It is optional in part or entirety.

Ask participants to review this tool component.

After they have reviewed it, solicit questions and discuss observations.

Session 5: Data Collection Tool Development

Session Objectives:

By the end of the session participants will be able to:

• Develop data collection plan

• Adapt data collection tool

Time: 195 minutes

Materials: Flipchart, markers

Handouts: *Supply Chain Profile*, *Supply Chain Organogram*, *Data Collection Plan Worksheet*

Trainer Preparation:

• Review applicable slides

• Prepare *Data Collection Plan Worksheet* PPT slide

• Prepare copies of *Supply Chain Profile*

• Prepare copies of *Supply Chain Organogram*

• Prepare copies of data collection tools (excel; they will already have the supplemental surveys (Word doc) which are contained in the Assessment Guide)

Learning Activities Summary:

Title	Type	Time
Introduce Session	Lecture	10 minutes
Build Data Collection Plan	Lecture and Group Work	45 minutes
Present Data Collection Plan	Large Group Presentations	25 minutes
Unify Data Collection Plan	Large Group Discussion	40 minutes
Adapt Data Collection Tool	Lecture and Group Work	45 minutes
Present Data Collection Tool Adaptions	Large Group Presentations	30 minutes

1.   Introduce Session

Display PowerPoint slide 31. Review session objectives as noted on the slide.

Explain that this session will be very interactive as they will be building the actual assessment data collection plan.

Ask participants to locate the *Supply Chain Profile*. Also distribute the applicable supply chain organogram. Participants will reference the *Profile* and organogram during this session.

2.   Build Data Collection Plan

Display PowerPoint slide 32.

Explain to the participants that they will be defining the data collection plan for this assessment during this session.

First define the components of the data collection plan:

- **Levels of Supply Chain –** levels of supply chain to be included in the assessment (i.e. central, regional, district, facility, etc.) must be identified. This decision should be based on the expected outputs and intended application of the assessment as well as where supply chain authority lies. *This should already be decided during the assessment scoping and should be noted in the prepared Data Collection Plan Worksheet.*

- **Geographic focus –** levels of supply chain to be included in the assessment (i.e. central, regional, district, facility, etc.) must be identified. These decisions should be based on the expected outputs and intended application of the assessment as well as the size and geographic diversity of the country and where supply chain authority lies. *This should already be decided during the assessment scoping and should be noted in the prepared Data Collection Plan Worksheet.*

- **Organizations –** in planning data collection, the assessment team should select data collection organizations and sites (this will be later validated with the client and stakeholders as appropriate).

- **Informants –** thoughtfully identify key stakeholders, or informants, for each organization to be included in the data collection process. The number of key informants to visit will depend on the size of the assessment team and resources available.

Inform the participants that they will also determine **data collection methodology** which is to identify how data will be gathered from informants. Data is gathered for each assessed supply chain HRH building block via two primary methods: through *interviews* and *focus groups*.

1. **Interviews** – informants should be carefully selected based on their knowledge of the HRH building block. The final list of informants should be able to provide a complete picture of the HRH building block vis-a-via interview (or focus groups, see below). Interviews are usually with one person and are used as a data gathering technique when needing to obtain information that is sensitive or highly detailed. Interviews are conducted using the *Diagnostic Dashboard* and, if needed, *Supplemental Survey* in the assessment guide.

   Ideally, interviews are conducted at multiple levels and regions to ensure that data is both comprehensive and representative.

2. **Focus groups** – focus groups can be conducted in a number of ways (i.e. by HRH building block with a cross-section of roles or organizations, or by organization for all HRH building blocks). is conducted using the *Diagnostic Dashboard* and, again, supplemented using the survey. Informants are asked to use the tool to evaluate the capacity of human resource systems and answer survey questions to provide additional detail.

   A facilitated focus group should consist of no more than 10 key informant interviewees. The focus group discussion may also be carried out at the stakeholders' workshop. The assessment team may need to modify how the tool is implemented in order to facilitate group participation and discussion. Focus groups could be conducted at multiple levels and regions to ensure that data is both comprehensive and representative.

   Explain that as participants identify which informants will be either interviewed or participate in a focus group, they should keep in mind that, using data gathered via an initial set of interviews, the assessment team will gain in-depth knowledge and identify issues and areas of interest to research further with the focus groups.

After reviewing the components of the data collection plan, ask participants to divide into smaller groups. To do so, they should fill in the worksheet provided on slide 33 and 34.

To make decisions for each data collection points, the group should identify decision-making criteria. Ask for suggestions from the participants. Note them on a flip chart.

Suggested criteria could include:

- Assessment objectives

- HRH building blocks assessed

- Supply chain assessed

- People resources

- Financial resources

Inform participants that they will each present their data collection plans to the group. Once presentations are completed, the group will unify data collection plans into one – which will guide the assessment process.

1. **Present Data Collection Plans**

   Ask each group to present their data collection plans. They should share their decisions and the rationale for each. Presentations should be focused and no longer than 5-7 minutes.

   Ask other participants to record any feedback in their notebooks as they listen.

2. **Unify Data Collection Plans**

   As a group, discuss and develop a unified data collection plan. Review each aspect of the data collection plan. Identify commonalities among each group's decision and address differences. The result should be an agreed-upon data collection plan that will be used during the assessment. Agreements should be informed by previously set decision-making criteria.

3. **Adapt Data Collection Tool**

   Now that the data collection plan is finalized, explain that the participants will now review the following data collection tools and adapt them to this assessment:

   - **Diagnostic Dashboard –** used to define the development stage of a supply chain's HR management.

   - **Supplemental Survey –** designed to gather data needed to supplement the *Diagnostic Dashboard* ratings with context and detail where needed. It is optional in part or entirety.

Re-divide the participants into five groups. Assign each group to an HRH building block and ask them to review the questions in *Diagnostic Dashboard* (both the questions in the Word and Excel portions of the Tool) and applicable supplemental survey (if any). Each group should be assigned a portion of the informants to be either interviewed or focus grouped. They should select those questions that will yield the data required to meet specific country assessment objectives by informant.

Decision-making should also be based on a review of source materials. As an assessment team, questions will also be selected depending on:

- Data from the *Supply Chain Profile*

- Supply chain organogram

- Reference documents

- Individual or role being interviewed or queried in a focus group

- Level of the system from which data is being collected

Inform the groups that when they are finished reviewing the tool and selecting questions, each group will present the questions they selected to the group for validation.

4. **Present Data Collection Tool Adaptions**

Ask each group to present their modified data collection tool for their assigned HRH building block. They should share their decisions and rationale. Presentations should be focused and no longer than 5-7 minutes.

Ask other participants to record any feedback in their notebooks as they listen.

At the conclusion of each presentation, the group should confirm decisions made regarding the tool by HRH building block by informant.

Finally, person(s) are identified to schedule informants and data collection meetings after the conclusion of this training workshop.

Session 6: Practice Collecting Data

Session Objectives:

The objective of this session is to enable participants to:

• Practice skills required to take thorough and accurate notes

• Gather HRH building block data using interviewing skills

• Gather HRH building block data using focus group facilitation skills

Time: 165 minutes

Materials: Flipchart, markers

Trainer Preparation:

• Review applicable slides

Learning Activity Summary:

Title	Type	Time
Introduce Session	Lecture	15 minutes
Purpose of Effective Notetaking	Lecture and Group Work	30 minutes
Demonstrate Interview Protocol	Lecture and Group Work	20 minutes
Practice Conducting an Interview	Small Pairs	30 minutes
Demonstrate Focus Group Protocol and Data Entry into the Excel Tool	Lecture and Group Work	20 minutes
Practice Facilitating a Focus Group	Group Practice	30 minutes
Summary	Lecture	20 minutes

1.   Introduce Session

Display PowerPoint slide 35. Review session objectives as noted on the slide.

Tell the participants that they will now practice how to use the data collection tool for the supply chain HR assessment. They will also practice their note taking and interviewing skills and techniques to carry out a focus group discussion.

2.   Purpose of Effective Notetaking

Notetaking is the process of recording ideas and facts that you learn. We take notes to fulfill two major functions:

• To record information for future recall; and/or

• To aid reflection of information collected.

By recording information while conducting an interview or focus group, you have a more accurate record for use later. As a repository for data, the notes serve as the source for analysis and inform the development of the final report. Taking notes stabilizes the knowledge acquired. Notes are a foundational document which will also allow the team to share experiences if the team splits up. Notetaking is also an effective information-processing tool that contributes to

the carrying out of a range of intellectual processes, such as making judgments, resolving issues, and making decisions. The process of recording data forces you to synthesize and organize information thus creating a foundation for a more comprehensive analysis.

In this course, we recommend organizing your paper according to the *Cornell Method of Notetaking* in order to facilitate effective notetaking.

Display PowerPoint slide 36.

Each interview or focus group should have a unique set of notes. Notetaking paper should be formatted to have two pages:

- **Notetaking Page** – this page is divided into 4 sections and is where you record information collected:

  A. Top left: record the page number

  B. Top right: record the name of the person(s) interviewed, their title, organization, and the date of interview

  C. Bottom left: note outstanding questions or items for follow-up

  D. Bottom right: record notes by HRH building block

- **Summary Page** – this page is divided into 3 sections and is where you record initial findings and/or summary observations:

  A. Top left: record the page number

  B. Top right: record the name of the person(s) interviewed, their title, organization, and the date of interview

  C. Bottom half: record key findings or insights by HRH building block within the categories of "strengths", "areas for improvement", "opportunities", "challenges"

Be sure that as you take notes you do not bias your notes with your opinions. Record facts and opinions as they are given to you without influence.

Also, consider recording quotes for inclusion in the final analysis. In order to include a quote in the analysis or final report, you must obtain the informant's permission, or be sure that it cannot be attributed should it be provided in an anonymous format.

Once you have taken notes you will want to take several actions within the same to ensure that your notes are accurate and useable:

- **Review** – review your notes for legibility and content comprehension. Rewrite any text that is unreadable and ensure that all notes are comprehensible – where there are incomplete thoughts, complete them.

- **Reflect** – distill findings from your notes. Label and index information and put them into the structure on the Summary Page. Unless ideas are placed in categories for re-examination, they risk being forgotten.

Reflecting and reviewing will also allow you to identify areas that need additional examination, questions which need revision, and/or begin initial analysis.

3. Demonstrate Interview Protocol

Explain that you will now model an interview. Select one HRH building block with which to practice. For the purpose of this demonstration, explain that you will focus on the Excel portion of the *Diagnostic Dashboard* and practice guiding the interviewee through the process of assigning a rating for dimensions for the selected HRH building block.

Ask participants to turn to section 5 in the assessment guide. Tell the participants that this is the section where they can find information on how to set-up and conduct an interview.

Ask participants to share examples of techniques they have found useful when interviewing key informants in the field. List these on a flip chart.

Discuss with the group the following procedure for conducting an interview:

- Preparation:

    A. Identify and invite potential interviewees

    B. Set up interviews and follow up to confirm

- During the interview:

    A. Introduce yourself and the topic of discussion

    B. Establish rapport

    C. Practice confidentiality and discretion

    D. Display patience and encourage the interviewee to continue speaking

- Following the interview:

    A. Debrief with the interview team and other data collectors.

    B. Call or write to to thank the interviewee for his or her time and to clarify unclear themes emerging from the interview

Finally, again – emphasis that interviewing (and focus groups) are not intended to be an evaluation of an individual employee.

Also, as interviews (and focus groups) are conducted, the interviewer (or facilitator) should not interject personal opinions and/or experiences into the data collection process. An interviewer should ask the questions and solicit answers – but that is all. This is to ensure that collected data is not biased.

Display PowerPoint slide 36. Ask participants to practice taking interview notes while you model an interview by observing the interview and recording both data from the interview as well as feedback.

Now begin the demonstration. Either a co-trainer or one of the participants can act as the interviewee.

Conduct the "demonstration interview" for no more than 7 minutes. The focus of the demonstration should be on modeling good interviewing skills, becoming more familiar with the specific questions in the data collection tool, and practicing rating dimensions. As you conduct the interview, input the rating into the Excel-based *Diagnostic Dashboard*. At the end of the interview, display results of the rating to the plenary.

Debrief the demonstration by asking the participants to share their opinions about the interviewer's technique and their notetaking process. Make sure you cover the following:

- What did the "interviewer" say at the beginning of the interview? Did that set the right tone for the interview? During the interview, how clearly stated was each question? Were the follow-up questions clear? In summary, what did the interviewer do that was effective? What was not effective?

- What are some of the emerging themes you will want to follow up on in focus groups?

- What did they learn taking notes? What was their experience using this notetaking methodology?

4.   Practice Conducting an Interview

Display PowerPoint slide 38.

Now ask participants to pair off. In pairs, participants should select one HRH building block and practice interviewing each other using the questions for that building block. Again, they should practice rating dimensions using the *Diagnostic Dashboard* from one of the HRH building blocks and using the dashboard.

Each participant should practice conducting the interview by switching roles of interviewer versus interviewee after 10 minutes.

Ask other participants to record any feedback in their notebooks as they interview each other using the prescribed notetaking methodology.

At the end of the practice session, reconvene the group and debrief the practice and observations at the conclusion of the session together.

5.   *Demonstrate Focus Group Protocol and Data Entry into the Excel Tool*

Tell the participants you will now model a focus group discussion. Again, select one HRH building block to practice with. For the purpose of this demonstration, also focus on the *Diagnostic Dashboard* (the Excel portion) and practice guiding the focus group through the process of assigning a rating for dimensions for the selected HRH building block. The focus of the demonstration should be on facilitating a focus group, on becoming more familiar with the specific question in the data collection tool, and practice rating dimensions – but this time with a group.

Ask participants to turn to section 5 in the assessment guide. Tell the participants that this is the section where they can find information on how to set up and conduct a focus group discussion.

Ask participants to share examples of techniques they have found useful when conducting focus groups in the field. List these on a flip chart.

Now, ask for 3 volunteers to serve as a practice focus group.

Ask other participants to observe the focus group discussion and write down any feedback in their notebooks using the prescribed notetaking methodology.

During the focus group, input ratings. At the end of the focus group, display results of the rating to the plenary.

Debrief the focus group as follows:

- How well did the focus group leader handle the introduction section of the discussion? Did they introduce themselves and thank participants for coming?

- Was there an open expression of opinions? Were all members of the focus group allowed to participate in the discussion? How were dominant characters handled?

- Was a consensus rating reached? How?

6.   *Practice Facilitating a Focus Group*

Display PowerPoint slide 39.

Ask the participants to break into groups of at least four. In each group, assign one person to facilitate the focus group and another to enter data in the relevant HRH building block worksheet.

Practice for 20 minutes; allow participants time to each lead as facilitator and practice asking the group at least one question from the selected HRH building block.

Ask other participants to record any feedback in their notebooks as they interview each other.

At the end of the practice session, reconvene the group and debrief the practice and observations at the conclusion of the session together.

7. *Summary*

Ask the participants the following questions in the plenary:

- What insights did you gain today about using the data collection tools that you want to be sure to remember next time?

- What interview techniques do you want to apply when conducting an interview?

- What did you find particularly difficult? Why?

- What feedback do you have for the leader of the focus group discussion?

- What suggestions for improvement did you note?

- What difficulties did you observe with particular sections of the instrument or with specific questions?

Session 7: Data Analysis and Reporting

Session Objectives:

By the end of the session participants will be able to:

• Analyze HRH building block data and develop recommendations

• Develop recommendations implementation plan

Time: 120 minutes

Materials: Flipchart, markers

Handouts: *Recommendations Worksheet, Implementation Plan Worksheet* (in PPT)

Trainer Preparation:

• Review applicable slides

Learning Activities Summary:

Title	Type	Time
Introduce Session	Lecture	10 minutes
Analyze Data	Lecture	15 minutes
Practice Analyzing Data	Group Work	30 minutes
Develop Recommendations	Lecture	15 minutes
Practice Developing Recommendations and Implementation Plan	Group Work	30 minutes
Validate Findings and Recommendations	Large Group Discussion	20 minutes

1. Introduce Session

Display PowerPoint slide 40. Review session objectives as noted on the slide.

Tell the participants that now that they are all familiar with the data collection process for the assessment, we will look at how to collate all the information into a report and how to communicate the finding to relevant stakeholders.

Explain that during the final phase, **Phase 4: Analyze Data and Report Findings**, data from the interviews and focus groups are cleaned, analyzed, and validated. From validated data the assessment team develops recommendations. These recommendations are vetted in a validation workshop. Once validated, the assessment team finalizes recommendations and provides a proposed implementation plan.

2. Analyze Data

Explain that once data collection is completed, the team will reconvene to review and analyze it.

Display PowerPoint slide 41.

As a team, they will collate data by HRH building block and review ratings. The assessment team will review the data collection notes and flag issues that are mentioned repeatedly across data sources as potential themes. Data is analyzed and themes organized into "strengths" or "areas for improvements" or "opportunities" or "challenges". Doing so will allow the:

- Synthesis of the results in a way that can be communicated clearly to others; and

- Identification of potential recommendations for action or intervention.

Once the data analysis is completed, the assessment team should begin to identify underlying causes for "strengths", "areas for improvement", "opportunities" and "challenges". This root cause analysis helps to generate hypotheses about what is causing the human resource issues as they relate to the supply chain and will inform specific and feasible recommendations. To identify root causes, the assessment team should ask questions for each: "Why does it exist," and then for each reason, "Why does that situation exist?" and then how does this impact the assessed supply chain.

Finally, findings should be linked –where possible– to potential impact on supply chain functionality. Data gathered from the *Public Health Supply Chain Profile* will provide insight into those areas of the supply chain that are functioning well or not. The impact of HR findings on supply chain operations should be strongly articulated.

Explain that the process of interviewing stakeholders was described earlier. In some cases, questions may remain or a particular finding may need to be validated. Re-interviewing stakeholders will allow the assessment team to do so.

Findings should be validated against and supported by the information contained in the secondary data sources accessed and reviewed as a part of the document review.

The assessment team should narrow data analysis issues to those that local stakeholders feel strongly about or that seem to be having the most impact. Strengths and opportunities are presented in a merged format as they are inter-related, as are the areas for improvement and challenges.

3. *Practice Analyzing Data*

Display PowerPoint slide 42.

Ask the participants to break into groups of at least four. Ask them to review slide 43 ("sample dashboard with aggregated data") and analyze sample data.

Groups should identify "strengths" or "areas for improvements" or "opportunities" or "challenges" and root causes of each for each HRH building block.

Inform them that they will present their analysis to the group at the conclusion of the activity.

Practice for 15 minutes.

At the end of the practice session, reconvene the group. Each should present analysis and root causes for **one** HRH building block. Debrief presentations and observations at the conclusion of the session together.

Debrief the practice session.

4. *Validate Findings and Recommendations*

Once recommendations are formed from findings, the assessment team should validate them with those responsible for enacting them. Validated recommendations are operationalized in an implementation plan and a final assessment report is drafted.

Explain to participants that the purpose of validating recommendations is to discuss assessment findings and recommendations and increase local ownership by key stakeholders in all sectors. Specific validation objectives include:

• Discuss the development stage rating that was awarded to each dimension during data collection. It is very important at this stage to get consensus on the final development stage rating.

• Review and validate the assessment findings and recommendations.

• Create opportunities for dialogue and collaboration among stakeholders from diverse sectors (both public and private).

• Revise the recommendations based on feedback from stakeholders.

In addition to validating recommendations, stakeholders may be asked to help prioritize the recommendations. This will ensure that the agreed-upon priority of recommended interventions is generated by those who understand the in-country context best and earn their commitment and buy-in for a process for moving forward.

The proposed prioritization method is based on key criteria that are practical in nature and include importance, feasibility, risk, affordability, duration, and impact of proposed interventions.

Explain that findings and recommendations should be vetted with stakeholders including sponsors or key individuals. This review should happen:

• Individually with the primary client(s); and

• With the larger community of stakeholders in a **validation workshop**. Ideally, review should take place with the same group that was convened at the start of the assessment and should include public and private sector stakeholders who participated in the development of the assessment findings, stakeholders who will lead implementation of the recommendations, and donors that are likely to fund recommended interventions.

Ultimately, these are the same people who will be responsible for the approval and implementation of identified recommendations and, as such, their buy-in is essential.

Finally, validated recommendations are operationalized in a final implementation plan and an assessment report is drafted.

5. Develop Recommendations and Implementation Plan

Display PowerPoint slide 44.

Explain to the participants that the next step is to begin to formulate recommendations based on the data analysis they previously conducted.

Each recommendation should:

• Respond to analysis and root causes

• Link directly to and clearly illustrate impact on a supply chain function

• Build long-term human resource capacity for the supply chain

• Directly support client objectives and/or country supply chain strategy;

• Ensure that the solution is manageable and realistic given the resources and skills available; and

• Can be achieved within a specified time scale.

Now the team will develop an implementation plan for recommendations by doing the following:

• Identify steps required to implement solution

- Identify timeframe

- Identify resources

- Identify a person who will be responsible for overseeing the solution.

Remember, some recommendations may be narrowly defined according to a specific HRH building block and others may cut across building blocks.

Ultimately these recommendations and implementation plans are recorded in a report, along with analysis and findings.

6.   *Practice Developing Recommendations and Implementation Plan*

Display PowerPoint slide 45.

Instruct participants to divide into small groups.

Explain that participants now practice developing recommendations based on their analysis from the previous exercise. For one recommendation, they should develop an implementation plan. They should use the template on slide 46 when developing their implementation plan.

Inform them that they will present their sample recommendations and implementation plan to the group at the conclusion of the activity.

Groups should have 30 minutes to practice drafting recommendations.

At the end of the practice session, reconvene the group. Each should present recommendations and implementation plan for **one** HRH building block. Debrief presentations and observations at the conclusion of the session together.

Session 8: Workshop Wrap Up

Session Objectives:

By the end of the session participants will be able to:

• Understand how to implement the developed data collection plan

• Complete the workshop evaluation form

Time: 45 minutes

Materials: None

Handouts: Data Collection Plan, *Workshop Evaluation Form*

Trainer Preparation:

• Review applicable slides

Learning Activities Summary:

Title	Type	Time
Introduce Session	Lecture	5 minutes
Discuss Next Steps	Group Discussion	15 minutes
Review Participant Expectations and Parking Lot	Group Discussion	10 minutes
Complete Workshop Evaluation	Individual Work	15 minutes

1.   Introduce Session

Tell the participants that now that they are all familiar with the data collection tool and process we will discuss next steps.

2.   Discuss Next Steps

Ask the participants to review the data collection plan developed earlier in this session. Discuss the plan and identify next steps for enacting it.

Process by asking questions such as:

• What will be your first steps?

• What will you need to do to take these actions?

• What resources will you need and how will you get them?

3.   Review Participant Expectations and Parking Lot

Using the flipchart that was developed on the first day, review each of the expectations that the participants listed. Verify if every expectation was met and in what session this expectation was achieved.

Take a few moments to also process any unresolved issues that have been listed on the parking lot.

4.   Complete Workshop Evaluation

Tell the participants that they will now complete a workshop evaluation form. Remind the participants that their honest comments are appreciated and will be used to improve future workshops.

Distribute a copy of the *Workshop Evaluation Form* to each participant. Ask participants to complete the form and indicate where they can put the form when they have finished.

Appendix 3

Workshop Evaluation

Supply Chain
HR Assessment Team Training Course Evaluation

Please read through the questionnaire and carefully select the response that most accurately reflects your assessment of the logistics course. If you need additional space for writing, use the back of each page.

Name (optional):

1. Please rate your level of satisfaction for the following on a scale of 1 (not at all satisfied) to 5 (very satisfied) by circling a number below:

	Not at all Satisfied		Somewhat Satisfied		Very Satisfied
1. Objectives of the workshop	1	2	3	4	5
2. Organization of the sessions	1	2	3	4	5
3. Use of PowerPoint	1	2	3	4	5
4. Handouts	1	2	3	4	5
5. Small group work	1	2	3	4	5
7. Training room arrangements	1	2	3	4	5
8. Pace of the sessions	1	2	3	4	5
10. Workshop administration	1	2	3	4	5
11. Overall organization of the workshop	1	2	3	4	5

2. Please check the appropriate column in the chart below to indicate what you believe your skill level is in each of the following activities after completing the workshop using the following rating scales.

SKILL LEVEL

1 = cannot perform this task with the skills I currently possess

2 = can perform this task with assistance

3 = can perform this task without assistance

Task	Skill Level		
	1	2	3
Explain the phases of the assessment.			
Use the data collection plan developed in the assessment.			
Use the data collection tool to gather data.			
Analyze data to develop recommendations.			
Develop a plan for implementing recommendations.			

3. Please answer the following questions:

1. What was the most useful thing you learned in this workshop?

_____

2. Do you have any remaining questions about how to conduct the supply chain HR assessment?

_____

3. In your opinion, how well has this workshop prepared you to collect data and analyze it to develop recommendations for improving the HR capacity of supply chain personnel?

_____ I feel somewhat prepared.

_____ I feel adequately prepared.

_____ I feel well prepared.

THANK YOU FOR COMPLETING THE WORKSHOP EVALUATION FORM!

Appendix 4

Assessment Team Training Presentation

Click this link to download the PowerPoint file from the USAID | DELIVER PROJECT website:
http://deliver.jsi.com/dlvr_content/resources/allpubs/presentations/HRCD_Trng.pptx

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Slide 1

USAID | DELIVER PROJECT
FROM THE AMERICAN PEOPLE

Human Resource Capacity Development in Public Health Supply Chain Management

Assessment Team Training Workshop

Slide 2

Session 1 Objectives – Workshop Welcome

By the end of this session, you will be able to—

- Explain the objectives of this workshop
- Express expectations and relate them to the objectives of the workshop
- Decide on and agree to group norms for the workshop
- Find and refer to the workshop schedule
- Find and refer to the HRCD for PHSCM assessment guide and the data collection tool

Slide 3

Activity – Introductions!

1. Draw a number from the basket
2. Find the person who has your same number
3. Share your—
   - Name
   - Designation
   - Station
   - 1 thing that interests you about human resource management
   - 1 expectation for this workshop
4. Introduce your partner to the group

Slide 4

Workshop Objectives

By the end of this session, you will be able to—

- Explain the objectives of this workshop
- Explain the context and rationale for the assessment
- Demonstrate mastery of the data collection tools, collection processes, and dashboard
- Demonstrate mastery of analyzing data and developing recommendations and an implementation plan for recommendations
- Demonstrate ability to give and receive constructive feedback and the ability to work as a member of an assessment team

Slide 5

Use the *Assessment Guide* in this Workshop

USAID | DELIVER PROJECT

Human Resource Capacity Development in Public Health Supply Chain Management
Assessment Guide and Tool

Slide 6

Workshop Schedule

Day 1	
8.30 – 9	Registration
9 – 9.45	Session 1: Workshop Welcome
9.45 – 10.30	Session 2: Assessment Introduction and Overview
10.30 – 10.45	Break
10.45 – 12	Session 3: Assessment Process
12 – 1	Lunch
1 – 2.15	Session 4: Data Collection Tool
2.15 – 3.15	Session 5: Data Collection Tool Development
3.15 – 3.30	Break
3.30 – 4.30	Session 6: Data Collection Tool Development, Continued
4.30 – 4.45	End of Day Wrap Up

Slide 7

Workshop Schedule, continued

Day 2	
8.30 – 9	Introduction to the Day
9 – 10.30	Session 7: Data Collection Practice
10.30 – 10.45	**Break**
10.45 – 12	Session 8: Data Collection Practice, continued
12 – 1	**Lunch**
1 – 3	Session 8: Data Analysis and Reporting
3 – 3.15	Workshop Wrap Up

Slide 8

Session 2 Objectives – Assessment Overview

By the end of this session, you will be able to—

- Understand and explain the relationship between human resources and supply chain management
- Name the five building blocks of human resource capacity and how they relate to building a productive workforce for supply chain management
- Understand the purpose of the assessment guide and tool

Slide 9

Six Rights of Supply Chain Human Resources

An *effective supply chain* involves
- engaging the *right people*…
- in the *right quantities*…
- with the *right skills*…
- in the *right place*…
- paid the *right salary*…
- at the *right time*

…to implement the procedures that direct supply chain operations and *ensure the supply of health commodities*

Slide 10

Impact of Human Resources on Supply Chain Performance

Slide 11

Human Resource Building Blocks that Expand Supply Chain Performance

By nurturing the **5 human resource for health building blocks**, supply chain personnel are **sourced**, **developed**, and **professionalized** to support sustained **supply chain performance**

Slide 12

Purpose of the Assessment

Document the capacity of a country's public health supply chain human resource management

Identify where and how to improve supply chain performance through the effective human resource management of supply chain personnel

Document professionalization efforts of personnel working across a country's public health supply chains

Slide 13

Session 3 Objectives – Assessment Process

By the end of this session, you will be able to—

- Describe the process and timelines for the assessment

Slide 14

Assessment Process

Phase 1: Scope Assessment
- Develop scope
- Build team
- Engage stakeholders

Phase 2: Build Assessment Process and Tool
- Review documents
- Define assessment process
- Build data collection plan
- Adapt data collection tool and methodology

Phase 3: Collect Data
- Collect data
- Validate data

Phase 4: Analyze Data and Report Findings
- Analyze data
- Develop and validate findings and recommendations
- Develop and report findings and recommendations

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Slide 18

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Slide 23

Phase 3 – Collect Data

1. Conduct launch workshop
2. Collect data: conduct interviews and/or focus groups

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Phase 4 – Analyze Data

1. Analyze data
2. Develop recommendations
3. Validate findings and recommendations
4. Develop implementation plan
5. Report findings and recommendations

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Slide 27

Phase 4 – Analyze Data

1. Analyze data
2. Develop recommendations
3. Validate findings and recommendations
4. Develop implementation plan
5. Report findings and recommendations

Slide 28

Session 4 Objectives – Data Collection Tool Introduction

By the end of this session, you will be able to—

- Confidently use the data collection tool
- Define the data collection tool components and purposes

Slide 29

Data Collection Tool

Data collection tool comprises 4 components:

- **Reference Document Review** – background documents and reference materials reviewed to provide context
- **Supply Chain Profile** – a questionnaire designed to create a profile of the supply chain(s) being assessed (one is filled out for each unique supply chain assessed)
- **Diagnostic Tool** – evaluation tool used to define the transition stage of each HRH building block
- **Supplemental Survey (optional)** – a survey designed to gather data needed to supplement the Diagnostic Tool data with context and detail where needed

Slide 30

Use the Data Collection Tool

Slide 31

Use the Diagnostic Tool

Slide 32

Use the Diagnostic Tool Dashboard

Slide 33

Session 5 Objectives – Data Collection Tool Development

By the end of this session, you will be able to—

- Develop data collection plan
- Modify data collection tool

Slide 34

Activity – Develop Data Collection Plan and Methodology!

1. Review the *Supply Chain Profile*
2. Complete the *Data Collection Plan Worksheet*
3. Complete the *Data Collection Methodology Worksheet*
4. Be prepared to present your work to the larger group and, ultimately, unify all work into one assessment

Slide 35

Activity – Complete the Data Collection Plan Worksheet!

Slide 36

Activity – Complete the Data Collection Methodology!

Slide 37

Session 6 – Practice Collecting Data

By the end of this session, you will be able to—

- Practice skills required to take thorough and accurate notes
- Gather HRH building block data using interviewing skills
- Gather HRH building block data using focus group facilitation skills

Slide 38

Take Good Notes

Slide 39

Activity – Practice Your Notetaking Skills!

1. Organize your notetaking paper according to the format you just learned

2. As you listen to the demonstration interview/focus group, take notes according to this strategy

Slide 40

Activity – Practice Conducting an Interview!

1. Find a partner
2. Pick an HR component to practice with
3. Use the tool to pick component and sub-component questions to practice with
4. As you practice, make sure you—
   - Introduce yourself
   - Explain the purpose of the assessment
   - Explain how the data will be used
   - Promise confidentiality
   - Ask the questions exactly
   - Record rating/notes
   - Ask for questions
   - Thank your informant

Slide 41

Activity – Practice Facilitating a Focus Group!

1. Form a group of 4 or more
2. Pick an HR component to practice with
3. Use the tool to pick component and sub-component questions to practice with
4. As you practice, make sure you—
   - Introduce yourself
   - Explain the purpose of the assessment
   - Explain how the data will be used
   - Promise confidentiality
   - Ask the questions exactly
   - Invite participation
   - Obtain consensus on the rating score
   - Record rating/notes
   - Ask for questions
   - Thank your respondent

Slide 42

Session 7 – Data Analysis and Reporting

By the end of this session, you will be able to—

- Analyze HRH building block data and develop recommendations
- Develop recommendations implementation plan

Slide 43

Data Analysis Table and Root Cause Analysis

Strengths	Areas for Improvement	Opportunities	Challenges
• Strengths are factors with an internal locus that work well and contribute to HRCD of supply chain personnel. • Recommendations should build on the strengths. • *Examples include: robust training program or annual performance management process.*	• Areas for improvement are factors with an internal locus of control that hinder the HRCD of supply chain personnel. • Recommendations should suggest how to improve. • *Examples include: decreased salary rate.*	• Opportunities are conditions with an external locus of control that contribute to the HRCD of supply chain personnel. • These factors can be leveraged when planning interventions. • *Examples include: excellent educational program or robust professional association.*	• Challenges are conditions with an external locus of control that hinder the HRCD of supply chain personnel. • Recommendations should suggest how to overcome. • *Examples include: decreasing budget or oppositional cultural beliefs.*

HR Building Blocks

Root Cause Analysis

- ✓ Ask "What is the reason?"
- ✓ And then for each reason, "Why does that exist?"
- ✓ Then ask, "How does this impact the assessed supply chain?"
- ✓ Tip: focus your time on areas with greatest potential impact

Slide 44

Activity – Practice Analyzing Data!

1. Review sample Dashboard data
2. Identify "strengths," "areas for improvements," "opportunities," and "challenges"
3. Identify root causes for internal "strengths" and "areas for improvement" and external "opportunities" and "challenges"
   - Ask "What is the reason?"
   - And then for each reason, "Why does that exist?"
   - Then ask, "How does this impact the assessed supply chain?"
   - Tip: focus your time on areas with greatest potential impact
4. Be ready to present analysis for <u>one</u> HRH building block to the group

Slide 45

Sample Dashboard with Aggregated Data

Slide 46

Develop Recommendations and Implementation Plan

RECOMMENDATIONS

- ✓ Respond to analysis and root causes
- ✓ Link directly to and clearly illustrate impact on a supply chain function
- ✓ Build long-term human resource capacity for the supply chain
- ✓ Directly support client objectives and/or country supply chain strategy
- ✓ Ensure that the solution is manageable and realistic given the resources and skills available, and
- ✓ Can be achieved within a specified time scale.

IMPLEMENTATION PLAN

- ✓ Identify steps required to implement solution
- ✓ Identify timeframe
- ✓ Identify resources
- ✓ Identify a person who will be responsible for overseeing the solution.

Slide 47

Activity – Practice Developing Recommendations!

1. Review the *Supply Chain Profile* and provided statistics that you will use for this assessment

2. Identify those causes that, if addressed, might positively impact the supply chain being assessed

3. Brainstorm recommendations for most impactful causes

4. Select recommendations for implementation using the criteria provided in the *Tool Guide*

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Activity – Practice Developing an Implementation Plan!

1. Select one recommendation and develop an implementation plan for that recommendations using this chart

2. Be ready to present your recommendation and implementation plan to the group

HR COMPONENT: _____

Recommendation	Activities	Person/ Institution Responsible	Involved/ Impacted Partners	Timeframe

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For more information, contact askdeliver@jsi.com or visit http://deliver.jsi.com.