

# Clinical Assessment for Systems Strengthening (CLASS)

[Track 1.0 Grantee] ASSESSMENT

---

*Briefing Meeting with CDC [Country Office]*

JOSE “RAFI” MORALES, MD, FACOG  
CHIEF MEDICAL OFFICER

[Date]

HRSA, HIV/AIDS BUREAU, GLOBAL HIV/AIDS PROGRAM

# Meeting with CDC [Country Office]

## AGENDA

1. Introductions
2. CLASS Framework Overview
3. CLASS [Track 1.0 Grantee] Assessment Overview
4. Discussion
5. Logistics

# Purpose

- To provide HRSA with an approach to assess the administrative, clinical, and financial capacity of USG-supported HIV/AIDS programs;
- To inform HRSA and relevant partners of existing technical assistance needs, identify available resources to address these needs, and enable technical and organizational strengthening at the Track 1.0 Grantee, Local Partner, and Local Partner Treatment Facility levels.
- To facilitate a process for HRSA and relevant partners to determine readiness and ensure a successful and sustainable transition of programs to local leadership.

# Guiding Principles

- High quality services to people infected and affected with HIV/AIDS
- Systems strengthening through local capacity development; and
- Increased country ownership through transition of programs to local leadership

# Partner Collaboration

- The CLASS Framework is adaptable for specific country and program needs
- HRSA works with key partners to adapt and implement the CLASS
- Areas for partner collaboration with CLASS assessments include:
  - ▣ Identifying the scope and nature of the assessment
  - ▣ Site selection
  - ▣ Participating on an assessment team
  - ▣ Reviewing the assessment report and providing recommendations
  - ▣ Leveraging existing technical assistance resources

# Objectives

- Assess the **quality** of services and care provided to patients;
- Ensure that organizational **systems, policies, and procedures** are in place to accomplish program goals and objectives;
- Assess the **organization's capacity** to provide the funded services and manage funding;
- Identify program **strengths and weaknesses** and provide appropriate consultation to enhance their capacity to provide high quality, cost competitive health care and services;
- Specify areas of **system strengthening** to enable organizations to sustain their HIV service delivery; and
- Identify **model programs** or program components that can be **replicated** in other communities or organizations.

# CLASS Process : Phase I-III

## PHASE I: INITIATION & SCOPE

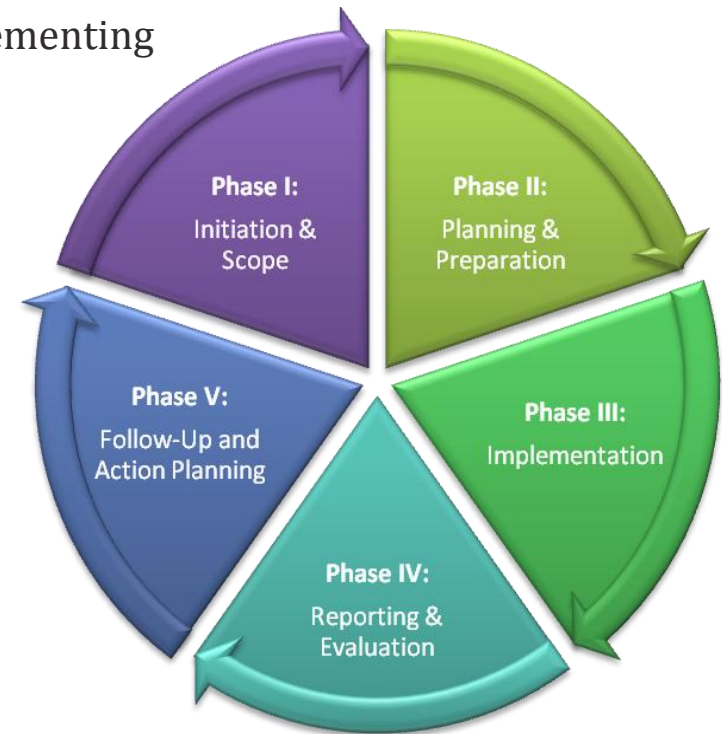
- Collaborate with the in-country USG team and implementing partners to identify assessment needs
- Develop the scope and purpose for the assessment

## PHASE II: PLANNING & PREPARATION

- Adapt the CLASS to best fit country or partner needs
- Prepare assessment work plan and budget
- Collect and review relevant documents
- Identify and gather country-specific information
- Recruit and train team of reviewers
- Coordinate logistics
- Conduct pre site-visit conference calls

## PHASE III: IMPLEMENTATION

- Conduct pre-assessment briefing meetings with the in-country USG team
- Conduct assessment visits to sites and/or local partner organization (s)
- Hold team meetings to debrief and evaluate
- Conduct exit conferences with the in-country USG team and implementing partners



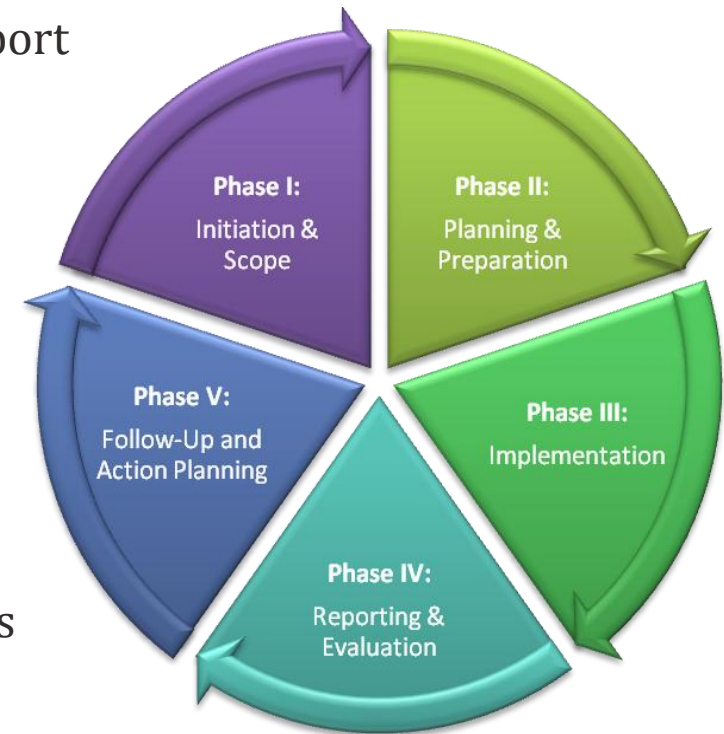
# CLASS Process : Phase IV-V

## PHASE IV: REPORTING & EVALUATION

- Synthesize assessment findings into a final report
- Make recommendations based on findings
- Present overall findings to relevant partners
- Conduct evaluation sessions
- Identify best practices

## PHASE V: FOLLOW-UP & ACTION PLANNING

- Schedule follow-up meetings
- Work with implementing partners to develop action plans
- Identify existing technical assistance resources
- Coordinate/monitor capacity development





# CLASS Methodology

---

- Site Selection
- Team Composition
- Pre-Assessment Work
- Assessment Components
- Assessment Outcomes

# Site Selection

- HRSA works with in-country USG team and Track 1.0 Grantee
- Criteria for selection
  - ▣ Scope of work for assessment
  - ▣ Program size (# of sites, patients in care)
  - ▣ Site type (tertiary, primary, satellite)
  - ▣ Stage of transition
  - ▣ Geographic location

# Team Composition

## **ADMINISTRATIVE REVIEWER**

- Conduct a comprehensive review of the specified service area(s) with an emphasis on review of management processes such as organization structure, lines of management authority and communication, and relationships with other service providers.

## **FISCAL REVIEWER**

- Conduct a comprehensive review of the specified service area(s) with an emphasis on review of financial policies and procedures, cash flow and accounts payable, internal controls, and payroll.

## **CLINICAL REVIEWER**

- Conducts a comprehensive review of the specified service area(s) that includes patient chart review and emphasis on direct observation of clinical systems.

# Team Composition (continued)

## **PROJECT OFFICER/ACTIVITY MANAGER**

- ❑ Provides project-related information to assist with the review
- ❑ Coordinates in-country logistics and communication with partners

## **TEAM LEADER**

- ❑ Serves as primary team contact during visit.
- ❑ Coordinates the sharing of tasks to complete the site assessment.
- ❑ Site Visit Report

## **EVALUATOR**

- ❑ Observes, documents, and implements procedures to evaluate the feasibility, reliability and utility of the **CLASS** tool and process.

# Pre-Assessment Work



- Assessment team training
- Document review
- Conference Calls with in-country USG team and Track 1.0 Grantee

# Site Assessment Components

- **Entrance meeting:** The assessments begin with an opportunity for the team to meet with the organization's leadership, HIV clinical and laboratory Master Trainer Corps, and other key staff. This session allows the site to provide an overview of their history, services provided, and accomplishments achieved, as well as present any challenges currently being faced.
- **Facility tour** (as appropriate): The team tours the facility to gain the perspective of the impact of clinical and laboratory training on quality of care and support to decentralization.
- **Information gathering:** Team members conduct staff interviews and request follow-up documents to clarify or confirm information collected.
- **Exit Conference:** At the end of the site visit, the team meets with the organization's leadership to share findings of the assessment, including strengths and areas for improvement.
- **Debrief Meeting:** The site visit team meets with staff from partner organizations at the completion of all site and/or partner assessments to discuss cross-cutting findings.

# Information Gathering

- ❑ Critical sources: staff interviews and document review
- ❑ Staff interviews may be conducted in an individual or group setting
- ❑ Open-ended questions are included in CLASS tools
- ❑ Comments will not be attributed to individual staff
- ❑ May request management, Track 1.0 Grantee or Local Partners to excuse themselves during staff interviews

# Staff Interviews

Clinical Reviewer	Administrative Reviewer	Finance Reviewer
Executive Director, Site Coordinator/Administrator, Site Manager		
Medical Director	Board members	Chief Financial Officer
Physicians	Executive Director	Site Accountants
Nurses	Human Resource Director	Payroll Staff
Counselors	Program Monitoring Staff	Registration Staff
Registration Staff	Triage Nurse	Management Information Staff
Pharmacy Staff	Data Entry Staff	Grants Management Staff
Laboratory Staff	Administrative Support	
M&E Staff	Registration Staff	
Patient Liaison Officer	Patient Liaison Officer	



# On-Site Document Review

- Documents to be available on-site for review
- Major document review components:
  - ▣ Personnel files
  - ▣ Clinic charts
  - ▣ Bank statements and reconciliation
  - ▣ Payroll and timekeeping records
  - ▣ Petty cash records for 6 months
  - ▣ Financial statements and expenditure reports

# Sample Site Assessment Schedule

Time	Clinical Reviewer	Administrative Reviewer	Financial Reviewer
<b>Day 1</b>			
7:00-8:00 am	Assessment Team Reviewer Meeting		
8:15-8:45 am	Travel to Site		
9:00 -11:00 am	Opening Session		
11:00 - 11:30 am	Tour of Organization Space		
11:30-5:00 pm	Meet with Clinical Director/Clinical Mentoring Coordinator	Meet with Program Monitoring Director	Meet with Chief Financial Officer, Business Manager, and Grants Manager
	Review Project CQI plan and minutes of CQI committee	Review project meeting minutes, monitoring policies and reports	Review grantee/local partner grant files, invoice submissions,
<b>Day 2</b>			
9:00-2:00 pm	Review measurement and evaluation policies and procedures, data analysis and sharing processes.	Review supportive supervision, site visit policies and procedures, reporting documents, and technical assistance documents.	Grants Management review, procurement, and travel policies and documents, and financial monitoring processes and documents.
2:00-3:00 pm	Team meets to review findings and/or request additional materials.		
3:00-5:00 pm	Closing Session		
5:00-6:00 pm	Travel from Site		
6:00-7:00 pm	Team debrief, evaluation, and planning for next visit		

# CLASS Tool: Modules

- **CLINICAL:** Assesses facility policies and procedures, project work plan, continuous quality improvement/quality assurance, and review of medical records.
- **FINANCIAL:** Assesses income and expenditures, charges and fees, billing and collections, accounting system, accounts payable and cash flow, fixed assets, inventory and purchasing, payroll, revenue, and cost allocation.
- **ADMINISTRATIVE:** Assesses organization and structure, governance, strategic and short term planning, personnel policies and procedures, clinical personnel issues, licenses and certifications, risk management and liability protection, facility, networking, collaboration, linkages, and management information systems.

# CLASS Tool: Modules (continued)

- **LOCAL PARTNER:** Assesses the partner's capacity to provide management and support to clinic sites. Includes, strategic planning, financial management, human resource management, establishment and use of health care networks, monitoring and evaluation/quality assurance, supply chain management, physical infrastructure to support the program, fundraising, and oversight and support to clinic sites funded by the partner organization.

# Administrative Module

CLINICAL ASSESSMENT FOR SYSTEMS STRENGTHENING

## CLASS Administrative Module

REVIEWER: \_\_\_\_\_ DATE: \_\_\_\_\_

SITE: \_\_\_\_\_

### SECTION 1: ORGANIZATION STRUCTURE AND GOVERNANCE

#### Core Competencies:

- The organization has a governing body that provides effective oversight and direction to support PEPFAR II-funded programs.
- There is an organization wide planning process and resulting plans are implemented.
- The organization has provisions for managing relationships with government agencies and donors.
- The organization meets all applicable National or other accreditation and legal requirements.
- The organization has provisions for preventing accidents and accidental exposures.
- The organization has adequate systems to ensure the protection of organization, employee, and patient information and files.
- The organization has a contingency plan (social/political unrest, act of war, natural calamity, loss of power, loss of access to clean water, etc.)

#### Open-ended questions:

1. What group provides oversight for the organization operations?
2. What documents provide the rules followed by the governing body and how often are they updated?
3. How does the group decide the current and future priorities for the organization?
4. How does management share organization status information with the governing body?
5. Who participates in the strategic planning process? HIV program staff?
6. How does the organization ensure consistency with the national or country HIV plan in their strategic plan development?

# CLASS Tool: Use

## **Reviewers will use the tool to:**

- Focus on specific program operations.
- Review program components required by HRSA, PEPFAR, or program expectations.
- Plan
- Guide interviews to ensure that relevant areas are discussed.
- Refer to when writing the site assessment report
- Assess grantee needs for technical assistance

# Assessment Final Report

- Key immediate outcome from CLASS assessment
- Report development stages:
  - ▣ Conduct the exit conference to share initial findings
  - ▣ Consolidate findings and recommendations for each technical area
  - ▣ Synthesize conclusions across technical areas and form initial cross-cutting recommendations.
  - ▣ Validate and finalize findings and recommendations
  - ▣ Disseminate the final report
- Used as a working tool for the Project Officer/activity manager to track progress

# CLASS [Track 1.0 Grantee] Assessment

[Date]



# Purpose

- The purpose of HRSA conducting a site visit and utilizing the CLASS tool is to assess and understand the organizational capacity of Local Partner Treatment Facilities, as well as the Local Partner(s). This assessment will inform technical assistance of this HIV/AIDS care and treatment cooperative agreement.
- The assessment methodology was developed in collaboration with CDC/[Country Office] and Track 1.0 Grantee.

# Assessment Team

ROLE	TEAM MEMBER
HRSA LEAD	
TEAM LEAD	
ADMINISTRATIVE REVIEWER	
FINANCIAL REVIEWER	
CLINICAL REVIEWER	
PROJECT OFFICER	

# Assessment Schedule: Week One

Date(s)	Site/Organization Name	Time
Mon. [Date]	Briefing with CDC [Country Office]	AM
	Briefing with [Track 1.0 Grantee]	PM
Tues. [Date]	[Local Partner]	All day
Wed. [Date]	[Local Partner]	AM
	[Local Partner]	PM
Thurs. [Date]	Meeting with CDC [Country Office]	AM
	Site Visit: [Local Partner Treatment Facility]	PM
Fri. [Date]	Site Visit: [Local Partner Treatment Facility]	AM
	Site Visit: [Local Partner Treatment Facility]	PM

# Assessment Schedule: Week Two

<b>Date(s)</b>	<b>Site/Organization Name</b>	<b>Time</b>
Mon. [Date]	Site Visit: [Local Partner Treatment Facility]	All day
Tues. [Date]	Site Visit: [Local Partner Treatment Facility]	AM
	Site Visit: [Local Partner Treatment Facility]	PM
Wed. [Date]	Site Visit: [Local Partner Treatment Facility]	All day
Thurs. [Date]	[Local Partner]	AM
	Debriefing	PM
Fri. [Date]	Debriefing	All day

# Discussion

