

Module 4: Financial and Administrative Systems and Tools

Purpose and Content

Module 4 encompasses the discussion of the administrative and financial systems and tools used in the day-to-day operations of an HMIS. It provides the participants an overview of the organizational structure to be set-up, the institutional links to be established and the different administrative systems to be put in place. In addition, Module 4 also lists the financial management systems to be established and provides the participants with the necessary tools to properly account and manage the HMIS financial resources on a daily basis.

This module has the most number of sessions and the longest session hours as it deals with the details in both administrative and financial concerns of the HMIS. To better appreciate the systems and tools, group discussions will be done to enable the participants to become more familiar with the forms and learn how to use them more effectively. As in the previous modules, the participants need to assess their current administrative and financial tools for completeness and responsiveness to their daily operations.

Objectives

At the end of the module, the participants will be able to:

- (1) describe the importance in putting in place administrative and financial management systems and tools into their HMIS operations
- (2) enumerate and describe the different administrative systems and tools
- (3) describe the different financial management systems and tools
- (4)** determine which of the administrative and financial systems and tools are applicable to their respective situations and needs and make an assessment of their current systems and tools

(5) Topics and Methodology

Sessions	Major Topics	Duration	Methodology	Supplies/ Materials
Session 4.1 Administrative Tools	<ul style="list-style-type: none"> * importance of putting in place administrative and financial systems * aspects of management * management aids and tools * purpose and elements of the various tools 	180 minutes	Group Game Group Review Plenary Presentation	Guide Questions Copies of Administrative tools currently used Handouts
Session 4.2 Financial Management Tools	<ul style="list-style-type: none"> * purpose and elements of the various tools * tools applicable to the participants' HMIS * areas for strengthening 	180 minutes	Group Presentation Variety Show Presentation Group Work	Handouts Assessment Checklist

FACILITATOR'S GUIDE

Introduction

1. Introduce this module by saying that after discussing the steps in setting up an HMIS and elaborating on its principles and requirements, the Training Programme will progress to discussing systems and procedures in running the day-to-day operations of their HMIS.
2. Explain that there are 3 major components to be discussed in this module and it will take 12 hours to complete them:
Part 1 – Administrative Tools
Part 2 – Financial Management Tools
Part 3 – Assessment of Current System
3. Clarify that the purpose of this module is not to impose the formats of the various tools that have been designed but to focus the discussion on the basic principles which the different tools aim to pursue. In turn, the participants will have to make their own assessment if their existing systems and tools observe and adhere to these basic principles in administration.
4. Flash the slide on the objectives for better understanding the purpose of this module.

Session 4.1: Administrative Tools

Individual Exercise

1. Begin this session by asking the participants to write on meta cards the key problems and issues they are facing in their day-to-day operations of their HMIS.
2. Ask them to post these on the provided flip charts. Again cluster these issues and concerns according to three categories – organizational structure, administrative and financial management.
3. Ask participants belonging to one HMIS to sit together and bring out the copies of their actual administrative tools.

Plenary Presentation

4. Present slides on the importance of putting in place the systems/tools and the specific aspects of HMIS daily operations to be managed well.
5. Relate your presentation to the issues and concerns listed by the participants. Every now and then, ask the participants for further comments or clarificatory functions.

6. Display next the slide that summarizes the administrative tools. Ask participants to identify which of the items are already in place in their HMIS and how do they call them.
7. Start the discussion on Organizational Structure. Refer to participants' outputs on the wall. Take note of the variations in the set-up. If there are HMIS that are unique, ask the group concerned to explain the rationale why they decided to set their management structure as such.
8. While you do not impose changes on their structures, be conscious if there are management principles that are compromised as a result of their set-up. Basic principles include: (a) clarity of delegation of responsibilities with corresponding authority; (b) assurance of balance and control; and (c) efficiency of the organization for decision-making and day-to-day operations.
9. Present next the slide on the By-Laws and Implementing Rules and Regulations (IRR). You need not read the example given in the Hand-out. You may just want to go through the main components of the outline. Ask participants to check which sections have been incorporated in their own By-Laws and IRR. Note that the size of HMIS varies and not all will be needing a comprehensive By-Laws as you are presenting.
10. Proceed with the presentation of the different administrative tools. As you present one tool, request the participants to review their own and check if these incorporate the essential features of the tools being presented.
11. For each tool, discuss its importance, how it will be used and the implications if these are not carried out. Emphasize the following:

Key Messages

- (1) Instituting administrative management systems is essential in building the confidence of your HMIS, ensuring its viability and to minimize dysfunctions during actual operations.
- (2) Three aspects of the HMIS that need to be properly managed include human resources, material and financial resources.
- (3) Contributions and benefits are the main source of income and expenditure respectively of your HMIS. Tools used make it possible to have all the information necessary to carry out monitoring and analysis of overall performance of your HMIS must be put in place.

1. Before beginning with this session, ensure that you have a break considering the lengthy discussion on the administrative tools.

2. Explain that a group presentation will be used to know more about the financial management tools. Considering that there are 9 tools to be discussed, divide the participants into 9 groups (about 3–4 members per group). Assign one tool per group by asking them to pick a piece of paper from the box containing the specific tools to be presented.
3. However, before subdividing them, display the slides on the summary of financial management tools to be discussed and the importance of instituting them in their HMIS.

Group Work

4. Advise the participants to form their group and give them a copy of the handouts. Give the following instructions:
 - 4.1 As a group, read the section of the Handout pertinent to the financial management tool assigned to your group.
 - 4.2 Discuss the purpose and basic features of the tools and the process how they will be used or accomplished.
 - 4.3 Once they are clear about the tool, ask them to brainstorm how to present these in plenary. Give them some tips to choose from:
 - Radio panel interview
 - News casting set-up
 - Dance and song or poem
 - Drama or a role play of real situation
 - TV variety shows (e.g. Magana Hangnail Bayan – on the bawi or kahon; Star Quest, Game Ka Na Ba, etc.)
5. Go around each group and ensure that there are no duplicates in terms of the format or style of presentation. Emphasize that the purpose of the presentation is to convey the message about the tool and not how well they will perform.

Group Presentation

6. Arrange the group presentation according to the sequence of the discussion in the handout since some financial management tools are dependent on the accomplishment of the other tools.
7. After each presentation, ask one group to summarize what they have learned about the particular management tool that was presented. (e.g. if there are 9 groups in all, ask Group 1 to present and Group 9 to summarize what were presented).

8. Once the group asked to summarize has done the synthesis, run through with the participants the slides prepared for each tool. This is to reiterate the importance of each tool. Do the same for the rest of the presentations.
9. At the end of all the presentations, repeat the following key messages:

Key Messages

- (1) instituting financial management systems and tools is necessary for:
(a) the preparation phase for the new financial period; (b) the day-to-day accounting and management of resources; and (c) the generation of financial statements and reports at the end of a financial period.
- (2) While in the commercial sector the goal is to seek to distributable profit, this does not apply for organizations in the non-profit-making sector like HMIS. Where there are positive results, for example, the term 'surplus' is used rather than 'profits'
- (3) The voluntary contribution of members is a feature specific to certain non-profit-making bodies such as your HMIS. The different voluntary acts are contributions in terms of work, goods or other services. Your HMIS should record such voluntary contributions in the accounts to give a value to such contributions in work.

Group Work

10. Ask the participants to regroup according to their HMIS. Ask them to make an assessment of the adequacy of the tools they are using and identify the key issues or concerns surrounding their use of their tools.
11. Distribute the Assessment Checklist and collect them afterwards as inputs to the Action Planning exercise.

SLIDES

**(Please refer to the PowerPoint Slides –
Module 4: Administrative and Financial Management of a HMIS)**

WORKSHEET 4-1 – Assessment Checklist

Given the presentation in the plenary, your group discussion and group presentations, identify from the list the structure/systems/tools that you have instituted in your own HMIS. If there are items that you have not put in place yet, discuss the reasons why and write the results of your discussion under the last column. For the structure/systems/tools that you have already put in place, assess their adequacy in making your operations effective and efficient. If there are areas that need strengthening, specify these under the last column – REMARKS. You may also want indicate how you call the structure/system/tools you are using which are similar to what are listed. At the end of each category, summarize the strengths and weaknesses of your current structure/systems/tools.

Structure/Systems/Tools	In-Place / – yes X – no	If already in place, assess whether tool		REMARKS
		adequate	partially adequate	
A. Organizational Structure				
1. General Assembly				
2. Executive Body				
3. Board of Directors				
4. Auditing Body				
5. Monitoring and Evaluation Committee (in some cases, this is merged with the Auditing Body)				
6. Grievance Committee				
Structure/Systems/Tools	In-Place / – yes	If already in place, assess whether tool		REMARKS

	X – no	adequate	partially adequate	
7. Medical Committee				
8. Committee of Experts				

Summarize strengths and weaknesses of your current financial management systems/tools:

Strengths	Weaknesses

B. Administrative Management

1. Membership Card				
2. Register of Members				
3. Certificate of Entitlement				
4. Invoice				

Summarize strengths and weaknesses of your current financial management systems/tools:

Strengths	Weaknesses

Structure/Systems/Tools	In-Place / - yes X - no	If already in place, assess whether tool		REMARKS
		adequate	partially adequate	
C. Accounting Management				

1. Cash Journal				
2. Cash-in-Bank Journal				
3. Cash Receipt Book				
4. Cash Disbursement Book				
5. Petty Cash Form				
6. General Ledger				
7. Statement of Income and Expenditure				
8. Balance Sheet				
Summarize strengths and weaknesses of your current financial management systems/tools:				
Strengths		Weaknesses		

Structure/Systems/Tools	In-Place / - yes X - no	If already in place, assess whether tool		REMARKS
		adequate	partially adequate	
D. Financial Management				
1. Action Plan				

2. Budget				
3. Cash Flow Forecast				
4. Statement of Income and Expenditure				
5. Balance Sheet				
6. Financial Ratios Record				
Summarize strengths and weaknesses of your current financial management systems/tools:				
Strengths		Weaknesses		