

PD-ABG-488

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**TRIP REPORT:  
VISIT TO BANGLADESH**

**JUNE 15 - JULY 9, 1993**

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**FAMILY PLANNING MANAGEMENT DEVELOPMENT**

**Project No.: 936-3055  
Contract No.: Df E-3055-Q-00-0052-00  
Activity Code: A1717 BANGO**

## CONTENTS

<b>LIST OF ACRONYMS</b> .....	
<b>I. SUMMARY</b> .....	
<b>II. BACKGROUND</b> .....	
<b>III. PURPOSE AND SCOPE OF WORK</b> .....	
<b>IV. ACTIVITIES</b> .....	
<b>V. CONCLUSIONS</b> .....	
<b>VI. SUMMARY OF ANNEXES</b> .....	8
<b>ANNEX I: ORGANIZATIONS AND PERSONS CONTACTED AND WORKSHOP PARTICIPANTS</b> .....	9
<b>ANNEX II: SCHEDULE OF VISITS DURING CONSULTANCY</b> .....	13
<b>ANNEX III: WORKSHOP MATERIALS</b> .....	16
<b>ANNEX IV: FPSTC MATERIALS</b> .....	56
<b>ANNEX V: THE ASIA FOUNDATION MATERIALS</b> .....	102
<b>ANNEX VI: PATHFINDER INTERNATIONAL MATERIALS</b> .....	183
<b>ANNEX VII: DRAFT SCOPE OF WORK FOR SEPTEMBER VISIT</b> .....	222

## LIST OF ACRONYMS

AVSC	Association for Voluntary Surgical Contraception
CA	Cooperating Agency
CDS	Center for Development Services
CPR	Contraceptive prevalence rate
CWFP	Concerned Women for Family Planning
FP	Family planning
FPAB	Family Planning Association of Bangladesh
FPMD	Family Planning Management Development
FPSTC	Family Planning Services and Training Centre
MSH	Management Sciences for Health
MIS	Management information system
NGO	Non-governmental Organization
OPH	Office of Population and Health
PFI	Pathfinder International
QES	Quality, expansion, and sustainability
SOW	Scope of work
TAF	The Asia Foundation
TA	Technical assistance
USAID	United States Agency for International Development

## **I. SUMMARY**

The Family Planning Management Development Project (FPMD) continued its program of support in management development of the USAID/Dhaka NGO portfolio during the current technical assistance visit which is the subject of this report.

Under a buy-in from USAID/Dhaka, FPMD is collaborating with Pathfinder International, The Asia Foundation (TAF), the Association for Voluntary Surgical Contraception (AVSC), the Bangladesh Family Planning Association (FPAB), and the Bangladesh Family Planning Service and Training Center (FPSTC) to improve quality, expand coverage and strengthen sustainability of family planning services provided by the 100 plus NGOs which the five CAs support with technical and financial resources.

During the present technical assistance mission (June 19 to July 8), FPMD launched the first of a four-phase program of technical assistance to enhance the capability of the CAs to promote the managerial and institutional sustainability of their client NGOs. The goal of this program of technical assistance is to enable the CAs to identify and prioritize the types of technical assistance and determine the level of effort required by them to strengthen the management capacity of the NGOs as part of their efforts to create conditions for sustainable family planning service delivery.

The first step in achieving this goal is to enhance the CA's capacity to conduct management development assessments designed to identify the managerial strengths and weaknesses of each NGO and the latter's overall stage of development vis-a-vis those conditions necessary to become a mature and sustainable organization. When this phase is completed, FPMD will collaborate with the CAs to develop the skills of their program officers in facilitating strategic planning exercises that will permit the CAs and NGOs to develop long-term plans for technical assistance in strengthening managerial capacity.

The current three-week technical assistance mission to develop CA skills in conducting management development assessments involved the following strategies:

- A two and a half day workshop for 60 staff members of the five CAs to introduce the concepts and practice of management development assessments. During this workshop, CAs developed a series of milestone indicators for six management components essential to NGO sustainability. The milestone indicators were produced to enable the CAs to determine how much progress the NGOs have made toward becoming sustainable organizations.
- Individual technical consultations with three of the CAs (Pathfinder International, the Asia Foundation, and the Family Planning Service and Training Center) to refine the milestone indicators and develop a series of data-gathering instruments for use in management development assessments.

- Initial field tests of the data-gathering instruments designed to provide the CA staff with experience in conducting management-related interviews and data-gathering exercises and to introduce the staff to the concepts of instrument reliability, validity and efficiency.
- The preparation of guidelines for conducting and analyzing results of management development assessments and a plan for conducting a full-scale field test of the management development assessments during the August – September period.

Each of the three CAs fully participated in the development of milestone indicators using the FPMD framework, and produced a data-gathering instrument based on the indicators. This intensive activity resulted not only in the production of practical materials to be used to carry out the assessments, which was the major goal of this technical mission, but also in considerably increasing the knowledge of the CA program officers and in further refining their concept of both sustainability and management.

The field tests undertaken during this period demonstrated that a systematic approach to gathering information about management capability could lead both to acquiring important new information about the NGOs which the CAs support, information vital to the further development of the NGO, as well as to organizing existing information and knowledge about the NGO in a way which would be more constructive in identifying needs for managerial and institutional development. The materials produced by each of the CAs evolved into three different assessment tools which all used similar methodologies, yet reflected a sense of ownership on behalf of each of the CAs. This creative process was encouraged so that the management development assessments could best serve the individual CAs and respond to their unique needs. As time progresses, the management assessments will probably develop more similarities as the strong points of each CAs' assessment become more evident after field testing.

The initiation of the management development assessment process has proven to be a learning experience for both CAs and NGOs, paving the way for the next step in the process of enhancing the chances for achieving sustainability: strategic planning.

The FPMD team will return to Bangladesh in September to review and analyze the results of the field test, finalize the milestone indicators, data-gathering instruments and methods for analyzing results, and prepare detailed guidelines which the CAs will use to conduct their management development assessments through June 1994.

## **II. BACKGROUND**

In April 1993, FPMD collaborated with USAID/DHAKA and the five CAs in providing financial and technical support to over 100 local NGOs to prepare a series of scopes of work to reinforce the CAs' efforts to achieve the three strategic goals of their recently amended five-year cooperative agreements. The strategic goals are the improvement of service quality, the expansion of coverage, and the strengthening of institutional, managerial and financial sustainability of NGOs which the CAs support with financial and technical resources. The visit resulted in the identification of three key areas for FPMD technical support, for which comprehensive (or umbrella) scopes of work were produced: promotion of institutional and managerial sustainability, training impact evaluation, and NGO Program Management Information Systems (MIS).

The first umbrella scope of work — promoting institutional and managerial sustainability - involves several technical missions over a 12-month period designed to enhance the ability of the CAs to conduct management development assessments and to facilitate strategic planning exercises with their client NGOs. FPMD scheduled the first technical consultation for June 1993 as the majority of CA amendments specify the completion of management development assessments as a prerequisite for approval for the next round of subgrants in June 1994.

## **III. PURPOSE AND SCOPE OF WORK**

The purpose of the present visit was to introduce the management development process to the CA and NGO staff and then, working individually with specific CAs, to develop and test various tools to conduct management development assessments and methods for analyzing the information collected.

The FPMD technical team consisted of: M. Roy Brooks, Principal Program Associate, Health Financing Program, MSH; Saul Helfenbein, Deputy Director, Population Division, MSH; Stephen Sacca, Senior Program Associate, Health Financing Program, MSH; and William Newbrander, Senior Program Associate, Health Financing Program, MSH.

The team carried out the following scope of work:

- a) Conceptualize, develop and conduct a workshop for all CAs to introduce a framework for the management development process, including a management development assessment tool and associated methods.
- b) Following the workshop, work with CA management and selected program staff to tailor a set of "milestone" indicators for managerial, institutional, and financial sustainability into the management development assessment tool.

- c) Prepare draft guidelines on conducting management development assessment field tests.
- d) Serve as a technical resource to provide CAs with a variety of tools for conducting effective and meaningful management development assessments and to assist them in analyzing the results of field tests.
- e) Develop a scope of work for the next technical assistance visit scheduled for September 1993.

#### **IV. ACTIVITIES**

The activities under this assignment took place in four phases:

- Conceptualization of the management development process.
- Planning and carrying out a workshop on the management development process.
- Synthesis of material generated by the participants and development of guidelines for field testing the management development assessment tool.
- Work with three of the CAs to develop specific indicators, assessment tools, and guidelines for management development assessments.

##### **A. Conceptualization of the Management Development Process**

The underlying premise of the management development assessments was that it is part of the process to identify the types of technical assistance which will help the CAs ensure that their client NGOs maximize the chances of becoming sustainable organizations capable of continuing to provide quality family planning services within the framework of the Bangladesh national family planning program.

From this perspective, management development assessments are inputs into the strategic planning process which will help the CAs prioritize the areas of management development assistance and determine the level of effort required to move the NGOs toward sustainability.

Using this premise as the underlying principle of management development assessments, FPMD derived the methodology from the organizational development framework which it has used to guide its work with family planning organizations and programs throughout the world: management development assessments identify the stage of managerial and institutional development of an organization on a continuum of milestone stages of development characterized by specific managerial competencies at each stage. These

competencies become milestone indicators which can be used to assess how far an organization has come in its efforts to achieve managerial and institutional sustainability. The FPMD framework proved to be compatible with the collective work of the five CAs in developing the indicators for sustainability. First, the FPMD team simplified its organizational development continuum of four broad stages (emergent, growth, consolidation and mature/sustainable) into three stages (launch, growth and maturity) to make it more amenable to use by non-experts.

Using the output of the CAs in developing sustainability indicators, the FPMD team extracted six management components which are essential to the NGO sustainability in Bangladesh: Leadership, Organizational Structure and Lines of Communication, Mission and Plans, Financial Stability, Human Resources, and Community Participation. These specific management components replaced the more abstract ones which were originally part of the framework: mission, strategy, structure, and systems.

The resulting Matrix (See Figure 1) created the framework to facilitate the identification of specific indicators for each management area within each of the three stages. These indicators became the milestone indicators. The goal of a management development assessment therefore was to match the existing NGO management competencies in each of the six management areas with the indicators under each of the three stages of progress toward sustainability. The framework thus provided a basis for developing the management development assessment tool as well as a means for analyzing results.

**FIGURE 1:  
MANAGEMENT DEVELOPMENT ASSESSMENT MATRIX**

	LAUNCH	GROWTH	MATURITY
LEADERSHIP			
ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION			
MISSION AND PLANS			
FINANCE			
HUMAN RESOURCE MANAGEMENT			
COMMUNITY PARTICIPATION			

## **B. Planning and Carrying Out a Workshop on the Management Development Process**

Upon their arrival in Dhaka, the team met with USAID/Dhaka and the CA Executive staff to review the agenda and obtain any comments which would assist the team in finalizing workshop material. The workshop included 60 senior-level program and administrative officers including CA directors and representatives from NGOs supported by the CAs.

The workshop began with the MSH team presenting the framework for the management development process. The majority of the remaining two days consisted of group meetings. The team split the participants into ten groups. One group consisted of the Executive staff of the CAs and USAID; the remaining groups were composed of a mixture of participants from CAs and key NGOs. Each group session was designed to build on the results of the previous session. By the end of the workshop, each group had developed one to two indicators, along with the associated means for measuring it, for each of six management components. This provided the team with up to 20 indicators for each management component.

The final group session brought the CAs and their NGOs together to discuss the management development assessment process as it related to their own situation, and to make staff assignments and field test arrangements during the remainder of the team's visit to Bangladesh.

## **C. Synthesis of Material Generated by the Participants and Development of Guidelines for Field Testing the Management Development Assessment Tool**

The team reviewed and synthesized the material generated during the workshop. For each of the six management components, indicators were reviewed for clarity, measurability and pertinence. Duplicate indicators were omitted. This exercise yielded a comprehensive list of indicators for each of the management components which would be used as a basis for tailoring the indicators to each CA.

The MSH team also produced a set of guidelines for field testing the management development assessment instrument. This material was distributed to all five CAs.

## **D. Work with Three of the CAs to Develop Specific Indicators, Assessment Tools, and Guidelines for Management Development Assessments**

The team divided up to work individually with three of the five CAs; FPSTC, the Asia Foundation, and Pathfinder. Using the synthesized material as a basis, each team member facilitated the process of adapting the general material developed during the workshop to meet the specific requirements of the CAs. From this process, CA staff developed a set of specific indicators to support each management component, then developed, field-tested and

if necessary, modified their management development assessment instrument as a means of collecting information to measure the indicators.

As a complement to this tool, guidelines for conducting assessments were developed. The guidelines include instructions for organizational visits, interviewing NGO personnel, and analyzing results.

By the end of this period, all CAs had conducted at least two field tests of the assessment instrument and had begun to analyze the information collected from them. The final task for each CA was the development of a workplan which specified tasks to be completed before the return of the MSH team in September. The scope of work for the return visit was reviewed with and approved by the CAs and USAID.

## V. CONCLUSIONS

Each of the three CAs fully participated in the development of milestone indicators using the FPMD framework, and produced a data-gathering instrument based on the indicators. The process of developing, reviewing and revising indicators, and developing data-gathering instruments focussed CA program staff attention on issues and management components of the NGOs as institutions which, although related to the family planning project conducted under the auspices of the NGOs, shed new light on the strengths and weaknesses of the NGOs as institutions. This intensive activity resulted not only in the production of practical materials to be used to carry out the assessments which was the major goal of this technical mission, but also in considerably increasing the knowledge of the CA program officers and in further refining their concept of sustainability.

The field tests undertaken during this period demonstrated that a systematic approach to gathering information about management capability could lead both to acquiring important new information about the NGOs which the CAs support, information vital to the further development of the NGO, as well as to organizing existing information and knowledge about the NGO in a way which would be more constructive in identifying needs for managerial and institutional development.

Such insights were also mirrored in the reaction of the NGOs to the assessments. NGO staff participating in the management development assessment field tests indicated that the management issues which were raised by the CA staff during the interviews were vital to their continued existence and development. Thus, the initiation of the management development assessment process has proven to be a learning experience for both CAs and NGOs, paving the way for the next step in the process of maximizing the chances for achieving sustainability: strategic planning.

## **VI. SUMMARY OF ANNEXES**

Seven annexes are included in this report.

Annex I is a comprehensive list of the participants at the workshop and of the persons and organizations contacted by the team over the three-week assignment.

Annex II is a complete schedule of the visits made by the team.

Annex III is a comprehensive set of materials developed in support of the workshop. These include the agenda, the list of participants, overheads presented by the team, the worksheets used by participants during the workshop, and the results of the workshop assessment completed by the participants.

Annexes IV, V, and VI are materials prepared by FPSTC, the Asia Foundation, and Pathfinder respectively during the third phase of the assignment.

Annex VII is a draft scope of work for the next assignment, scheduled for September 1993.

**ANNEX I:**  
**ORGANIZATIONS AND PERSONS CONTACTED**  
**AND WORKSHOP PARTICIPANTS**

**ORGANIZATIONS AND PERSONS CONTACTED  
AND WORKSHOP PARTICIPANTS  
Management Framework Workshop  
June 22 - 24, 1993**

**USAID/Dhaka**

David Piet, Deputy Director  
Louisa Gomes, Project Management Specialist  
Quasem Bhuiyan, NGO Coordinator

**FPMD/MSH**

Mr. Roy Brooks, Principal Program Associate, Health Financing Program  
Mr. Saul Helfenbein, Deputy Director, Population Division  
Mr. Stephen Sacca, Sr. Program Associate, Health Financing Program

**AVSC**

Dr. Sukanta Sarker, Senior Program Officer  
Dr. A. Jamil Faisel, Medical and Program Advisor  
Mr. Nasiruddin, Assistant Program Monitor  
Nancy Piet-Pelon, Regional Director, Asia

**PATHFINDER**

Robert J. Timmons, Ph.D, Regional Director for Technical Services Asia/Near East  
M. Alauddin, Country Director, Bangladesh  
Saiful Islam, Program Manager  
Mahoob Aminur Rahman, Assistant Program Manager  
Mustafizur Rahman Bhuiyan, Program Officer  
Mansur Ahmed, Program Officer  
Shamsia Begum, Program Officer  
Mamunur Rashid (Swanirvar), Project Coordinator  
Azizur Rahman Mollah, Assistant Program Officer  
Golam K. Bhuiyan (Shimanatik)  
A.H. Nowsher Uddin, Program Officer  
Sultanur Reza, Assistant Program Officer  
Ferdousi Begum, Assistant Program Officer  
Maruf Islam Chowdhury, Assistant Program Officer  
Md. Mazbahuzzaman, Deputy Project Director  
Dr. S.M. Moazzem Hossain, Medical Program Officer

**FPAB**

Mr. Mukarram H. Chowdhury, Director General  
Mr. Mizanur Rahman, Deputy Director General  
Mr. Nazmul Haque, Deputy Director, IEC & Training  
Mrs. Shamima Hasan, Project Director, USAID Funded Projects  
Mr. Abu Musa, Deputy Director, Finance  
Mr. Waliullah, Assistant Director, Operations  
Mr. Kazi Mohd. Ali Jinnah, Assistant Director, USAID Funded Projects  
Mr. Md. Mahbub Alam, Assistant Director, IEC  
Mr. Ershadul Haque, Assistant Director (MIS), USAID Funded Project  
Mr. Habibur Rahman, Program Officer, USAID Funded Project  
Mr. Abdus Salam, Senior Program Officer, USAID Funded Project  
Mrs. Kohinoor Begum, Senior Program Officer (Women)  
Mr. Mosharraf, Assistant Director  
Mr. Zakaria, Assistant Director  
Mr. Md. Abul Kashem, District Project Officer (Com Ila Branch)  
Mr. Md. Tofazzul Rahman, District Project Officer (Mymensingh Branch)  
Mr. Md. Lutfor Rahman, District Project Officer (Rajshahi Branch)  
Mr. Md. Enamul H. Chy, District Project Officer (Faidpur Branch)

**FPSTC**

Mr. Abdur Rouf, Chief Executive  
Mr. Milon Bikash Paul, Deputy Chief Executive  
Mr. Md. Rezaul Karim, Assistant Chief Executive, Finance & Administration  
Mr. K.M. Syeduzzaman, Associate Program Officer  
Mr. Md. Kamrul Hossain, Program Officer  
Mr. Md. Ismail, Program Officer  
Mr. Md. Habibur Rahman, Program Officer  
Mr. Nur Mohammad, Program Officer  
Mr. Rafique Ahmed, Computer Programmer  
Ms. Hasina Nassim Haq, Associate Program Officer  
Dr. Selina Ahmed, Program Officer  
Mr. Islam, Head, Training Unit

## **THE ASIA FOUNDATION**

Nick Langton, Representative  
Nazral Islam, Senior Program Officer (Training)  
Mahbub Hossain Shaheed, Senior Program Officer (MIS)  
Mr. Nazrul Islam, Senior Program Officer (Training)  
Mr. Suresh Chandra Datta, Senior Program Officer (Coordination)  
Dr. Khairul Islam, Senior Program Officer (Qa/IEC)  
Ms. Fazilatunnesa Baby, Program Officer  
Ms. Jacinta Gonsalvez, Program Officer  
Ms. Tushar Quader Huq, Program Officer  
Mr. Wahiduzzaman Chy, Program Officer  
Mr. Nasiruzzaman, Program Officer  
Mr. Fariduddin Ahmed, Program Officer  
Dr. Najmus Sahar Sadeque, Program Officer  
Mr. Hasib Mahmud, Program Officer  
Mr. G.R.A. Taylor, Acting Population Program Manager  
Mr. Mahbub Hossain Shaheed, Acting Deputy Program Manager  
Mr. Omar Faruk, Executive Director, CDS  
Mr. R.U. Ahmed, Chief Coordinato  
Ms. Rokeya Sultana, Deputy Executive Director, CWFP  
Mr. Sultan Selim Ahmed, Project Director, JTS  
Mr. Aminur Rahman, Project Director, FDSR  
Mr. Gonesh Malakar, Executive Director, PSF

## **CONCERNED WOMEN FOR FAMILY PLANNING**

Mufaweza Khan, Executive Director

**ANNEX II:**  
**SCHEDULE OF VISITS DURING CONSULTANCY**

**SCHEDULE OF VISITS DURING CONSULTANCY**  
**17 June - 8 July 1993**

- June 20**      **Briefing with USAID/OPH on CA/NGO program and on visit goals**
- Meeting with Pathfinder International to discuss workshop agenda and introduce Roy Brooks**
- Meeting with the Asia Foundation to discuss workshop agenda and introduce Roy Brooks**
- June 21**      **Meeting with the FPSTC to discuss workshop agenda and to introduce Roy Brooks**
- Meeting with the AVSC to discuss workshop agenda and to introduce Roy Brooks**
- Meeting with the FPAB to discuss workshop agenda and to introduce Roy Brooks**
- June 22 - 24** **Workshop on "Working Toward Sustainability" held at Dhaka Sheraton Hotel**
- June 26**      **Presentation of the Management Development Process to the Executive Committee of FPAB**
- June 27**      **Team synthesizes material generated during the workshop**
- June 28**      **Team works individually with FPSTC, TAF and Pathfinder**
- June 29**      **Team works individually with FPSTC, TAF and Pathfinder**
- June 30**      **Team works individually with FPSTC, TAF and Pathfinder**
- July 1**         **Team works individually with FPSTC, TAF and Pathfinder**
- TAF and FPSTC field test the Management Development Assessment Tool**
- July 4**         **Team works individually with FPSTC, TAF and Pathfinder**
- Pathfinder field tests the Management Development Assessment Tool**

- July 5      Team works individually with FPSTC, TAF and Pathfinder  
FPSTC and Pathfinder field test the Management Development Assessment Tool
- July 6      Team works individually with FPSTC, TAF and Pathfinder  
Meeting with AVSC to discuss Management Development Assessments  
TAF field tests the Management Development Assessment Tool
- July 7      Team works individually with FPSTC and TAF  
Meeting with FPAB to discuss the Management Development Assessments
- July 8      Debriefing with USAID/OPH

**ANNEX III:**

**WORKSHOP AGENDA  
OVERHEADS PREPARED BY THE TEAM FOR THE WORKSHOP  
WORKSHEETS GIVEN TO PARTICIPANTS DURING WORKSHOP  
RESULTS OF WORKSHOP ASSESSMENT**

**WORKSHOP ON  
WORKING TOWARD SUSTAINABILITY**

**SHERATON DHAKA  
JUNE 22-24 1993**

**AGENDA**

**DAY ONE**

**Tuesday, June 22**

		<b><u>Group</u></b>
0900-0910	Introduction by MSH Team and USAID	Plenary
0910-0930	Purpose of the Workshop & Plan for next 12 months	Plenary
0930-1015	Working Toward Sustainability - An Overview Sustainability Management Development Process Management Development Assessment	Plenary
1015-1030	Tea break	
1030-1120	Management Development Process Milestone Indicators Strategic Planning	Plenary
1120-1230	Discussion Period	
1230-1330	Lunch	
1330-1430	Selection of Critical Management Components	Groups
1430-1445	Tea break	
1445-1600	Assigning Indicators to Management Components	Groups
1600-1615	Wrap Up	Plenary

**DAY 2****Wednesday, June 23**

		<b><u>Group</u></b>
0900-091	Schedule for the day	Plenary
0915-103	Forming the Relationship between Components and Milestones	Groups
1030-104.	Tea break	
1045-1230	Forming the Relationship between Components and Milestones	Groups
1230-1330	Lunch	
1330-1500	Forming the Relationship between Components and Milestones	Groups
1515-1530	Tea break	
1530-1615	Methods for Conducting a Management Development Assessment	Plenary
1615-1630	Wrap Up	

**DAY 3****Thursday, June 24****Group**

0900-0910	Schedule for the day	Plenary
0910-1030	Methods for Conducting a Management Development Assessment	Groups
1030-1045	Tea Break	
1045-1200	Presentation of the Action Plan for the Next Two Weeks	Plenary
	CA/NGO Staff Assignments and Identification of NGOs for Management Assessments	CA Group
1200-1230	Wrap Up	Plenary
1230	Lunch	

**OVERHEADS PREPARED BY THE TEAM  
FOR THE WORKSHOP**

## **PURPOSE**

**To introduce the Management Development framework as the basis for assisting CAs to attain targets for Quality, Expansion and Sustainability set forth in the CA amendments. The focus will be on the Management Development Assessment methods as steps in assisting NGOs to achieve institutional/managerial sustainability.**

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## **OUTCOMES OF THE WORKSHOP**

- **Understanding of the framework of the Management Development Process**
  - **A draft Management Development Assessment methods**
- 

## **WORKSHOP CONTENT**

- **Management development principles**
- **Methods for conducting management development assessments**
- **Common approach to using assessment tools**
- **Integration of existing tools in management development assessments**

## **PLAN FOR THE NEXT 12 MONTHS**

### **JUNE 1993**

#### **Management Development Process**

- **Establish a framework**
- **Develop tools and methods**
- **Initiate management development assessments**
- **Draft guidelines**

### **SEPTEMBER 1993**

#### **Management Development Assessments**

- **Analyze information obtained to date**
- **Continue management development assessments with NGOs**
- **Finalize tools and guidelines**

### **NOVEMBER 1993**

#### **Strategic Planning**

- **Workshop**
- **Initiate strategic planning with NGOs**
- **Draft guidelines**

### **MARCH 1994**

#### **Strategic Planning**

- **Follow up on strategic planning exercises conducted to date**
- **Finalize guidelines**

### **JUNE 1994**

- **Follow up, evaluate and refine guidelines for management assessments and strategic planning**

## **SPECIFIC OUTPUTS**

### **FROM MSH:**

- **Tools and guidelines - Management Development Assessments**
- **Tools and guidelines - Strategic Planning**

### **FROM CAs**

- **Independently Conducted Management Development Assessments**
- **Independently Facilitated Strategic Planning Exercises**
- **Initiated Process of Examining the Types of Technical Support Provided to NGOs to Promote Sustainability**

## **MOVING TOWARD SUSTAINABILITY**

### **Program Sustainability**

- **Demand**
- **Effective Use**

### **Institutional/Managerial Sustainability**

- **Doing the Right Thing**
- **Doing Things in the Right Way**

### **Financial Sustainability**

- **Using Resources Efficiently**
- **Creating reserves to finance changes**

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## **INSTITUTIONAL/MANAGERIAL DEVELOPMENT**

- **Synonymous terms**
  - **Describe institutions in management terms**
  - **Develop sustainability via management**
-

## **INSTITUTIONAL SUSTAINABILITY**

### **Are We Doing the Right Thing?**

- **Help national program achieve goals**
- **Reach Appropriate Groups**
- **Provide highest quality service**

### **Are We Doing Things in the Right Way?**

- **Provide Services at acceptable cost**
- **Maximize performance of personnel**
- **Accountable for decisions**

## **MANAGEMENT DEVELOPMENT**

### **Process of moving institutions toward sustainability**

- Present -----> Future
- New Directions
- New Ideas
- New Solutions

### **Make Institutions Dynamic rather than Static**

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## **MANAGEMENT DEVELOPMENT TOOLS**

- Management Components
- Management Development Assessments
- Milestone Indicators
- Strategic Planning
- Management Development Plan
- Sustainability

## **MANAGEMENT DEVELOPMENT COMPONENTS**

**Management capabilities critical to improving NGO chances for surviving and critical to reducing chances for failure**

- **Human Resources Management**
  
  - **Planning System**
  
  - **Leadership and Decision Making**
- 

## **MOVING TOWARD SUSTAINABILITY**

### **MANAGEMENT DEVELOPMENT ASSESSMENTS:**

**FIRST STEP TOWARD IMPROVING MANAGEMENT CAPABILITY AS  
A MEANS OF ACHIEVING INSTITUTIONAL SUSTAINABILITY**

## **MANAGEMENT DEVELOPMENT ASSESSMENT WHAT IS IT?**

**It is a process that enables one to estimate the level of progress an institution has developed managerially.**

### **WHAT CAN IT DO?**

**It can provide a set of tools that assist the organization to:**

- **IDENTIFY MANAGEMENT DEVELOPMENT NEEDS**
- **ESTABLISH PRIORITIES FOR STRENGTHENING MANAGEMENT**
- **REMOVE BARRIERS TO SUCCESS**
- **ASSIST ORGANIZATION TO ACCOMPLISH ITS PROGRAM GOALS**

### **WHAT A MANAGEMENT ASSESSMENT IS NOT**

- **Not Another Evaluation Form or Process for Supervision**
- **Not Another Set of Program Goals**
- **Not a Quality Assessment**

**IT IS A TOOL FOR PLANNING HOW TO ACHIEVE YOUR PROGRAM GOALS IN AN EFFICIENT MANNER**

## **STEP ONE:**

### **Determine Key Groups of Management Components**

#### **Choose Components That:**

- **Are Critical to Successful Management**
- **Ensure That All Management Aspects are Equally Reviewed**

#### **Components Should Be:**

- **Easy to Collect**
- **Tangible and Measurable**
- **Compatible for a Variety of Facilities**

**Keep it Simple - No More Than Six**

## **POTENTIAL MANAGEMENT COMPONENTS**

- **LEADERSHIP**
- **ORGANIZATIONAL STRUCTURE  
AND LINES OF COMMUNICATION**
- **FINANCIAL STABILITY**
- **COMMUNITY PARTICIPATION**
- **MISSION AND PLANS**
- **HUMAN RESOURCES**

## **INDICATORS FOR MEASURING MANAGEMENT COMPONENTS**

**Indicator is what one uses to measure how far the organization has progressed in management development.**

**Indicators should be simple enough to be collected by on-site visits**

### **POTENTIAL INDICATORS**

#### **Component - Leadership**

**Indicator: Existence of Trained Executive Director**

#### **Component - Financial Stability**

**Indicator: Significant percentage of income derived from non-donor sources**

**Indicator: Existence of Grant or Contract for 2 years or more**

#### **Component - Community Participation**

**Indicator: Community Board that meets regularly and provides direction**

## **MANAGEMENT DEVELOPMENT ASSESSMENTS**

**Indicators to measure NGO's present capability in each management development component**

- **Human Resources Management**
    - **Supervisory system in place**
  
  - **Planning System**
    - **Information available for annual planning activity**
  
  - **Leadership and Decision Making**
    - **Community participates in decisions**
- 

## **MILESTONE INDICATORS**

**Indicators measuring how far the NGO has gone in developing management capability need to ensure chances for sustainability**

## ■ **Human Resources Management**

### ○ **Supervisory system in place**

- **Individual performance reviews conducted semi-annually**

## **Planning System**

### ○ **information available for annual planning activity**

- **80% of annual plan completed in line with program and financial objectives**

## **Leadership and Decision Making**

### ○ **Community participates in decisions**

- **Advisory Boards work with Executive Director to set targets for community financial contributions**

## **MANAGEMENT DEVELOPMENT PLAN**

**Determining inputs needed to bridge the gap between present and future: priorities, efforts, expectations**

## **SUSTAINABILITY**

**NGOs continue to play a significant role in the national family planning program as a dynamic institution in a changing environment**

## **MILESTONE INDICATORS**

- **Prioritize Actions to improve management capability**
- **Distribute effort to implement strategic plan**
- **Build realistic expectations and reduce frustration**

## **WHAT ARE MILESTONE INDICATORS ?**

- **Measure progress in developing management capability**
- **NGO's stage of institutional Development**
- **NGO's capability for each critical management component**

## **STAGES OF INSTITUTIONAL DEVELOPMENT**

- **Launch Stage**
- **Growth Stage**
- **Mature Stage**

## **INSTITUTIONAL STAGES**

### **LAUNCH STAGE**

- **rely on one donor**
- **one project for activities**
- **limited skills and systems in place**
- **vulnerable to changing environment**

## **INSTITUTIONAL STAGES**

### **GROWTH STAGE**

- **increasing types and magnitude of resources**
- **projects carried out within a plan**
- **key skills and systems in place**
- **senses need to respond to changing environment**

## **INSTITUTIONAL STAGES**

### **MATURE STAGE**

- **diversified resources**
- **long term plans and strategies**
- **sophisticated and interrelated skills and systems in place**
- **rapidly adapts to changing environment**

## **MILESTONE INDICATORS Planning System**

### **Launch**

**Milestone Indicator:  
NGO has mission and plan**

### **Growth**

**Milestone Indicator:  
NGO has accomplished 80% of its annual plans over last 3 years**

### **Mature**

**Milestone Indicator:  
NGO develops multi-year strategic plan**

## **MILESTONE INDICATORS Financial Systems**

### **Launch**

**Milestone Indicator:  
NGO has accounting system to monitor annual budget expenditures**

### **Growth**

**Milestone Indicator:  
NGO has three year financial plan with targets for cost recovery**

### **Mature**

**Milestone Indicator:  
NGO has financial plans to generate new sources of revenue to finance new program activities**

## **STRATEGIC PLANNING**

**Is the process of determining WHAT an organization intends to be in the future and HOW it will get there**

## **MANAGEMENT DEVELOPMENT TOOLS**

- **Management Components**
  
- **Management Development Assessments**
  
- **Milestone Indicators**
  
- **Strategic Planning**
  
- **Management Development Plan**
  
- **Sustainability**

## **MAKING CHOICES**

**Directions:** The Mission or Goals and Organization will Pursue

**Programs:** The Services an Organization Will Offer to Accomplish This Mission

**Resources:** How an Organization Will Attract and Utilize the Resources Required

- People
  - Money
  - Expertise
- 

## **FORCES**

### **Mission of an Organization**

- What an Organization Intends to Accomplish

### **External Opportunities and Threats**

- What is feasible in a community given the social, economic, political and technological climate which exists now and in the future

### **Strengths and Weaknesses of an Organization**

- What an Organization is Capable of Doing, Considering Human, Capital and Financial Resources
- 

## **RECOGNIZING A FIT AMONG FORCES**

**Is the Mission Clear?**

**Does the Mission Fit with What is Needed and Feasible within a Community?**

**Does an Organization Have the Capabilities and Resources to do what is Needed?**

## **STRATEGIC PLANS PROMOTE SUSTAINABILITY**

**It drives an Organization to Adopt a Perspective which Integrates a Continuously Changing Environment into Management Operations**

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### **STEPS IN STRATEGIC PLANNING**

- 1. Define the Organizational Purpose (Mission)**
  - 2. Analyze Internal and External Environment**
  - 3. Identify Key Stakeholders of the Organization and Their Expectations**
  - 4. Define Organizational Goals**
  - 5. Prioritize Goals**
  - 6. Identify Activities to Reach Goals**
  - 7. Create a three to five year Management Development Plan and Budget**
- 

### **THE OUTCOME OF STRATEGIC PLANNING**

#### **A Management Development Plan**

- A set of Action Priorities to Guide an Organization Toward Achievement of its Goals, Usually for a Three to Five Year Period**

**WORKSHEETS GIVEN TO PARTICIPANTS DURING WORKSHOP**

## MANAGEMENT COMPONENTS

### GROUP WORKSHEET # 1

**Objective:**

First identify 6 components that can be used to assess management development. They must be indicative of key aspects of management in your organization that are fundamental for sustainability.

Second, group your indicators by the identified components and count total number of indicators for each component

Component 1: \_\_\_\_\_

Number of Indicators: \_\_\_\_\_

Component 2: \_\_\_\_\_

Number of Indicators: \_\_\_\_\_

Component 3: \_\_\_\_\_

Number of Indicators: \_\_\_\_\_

Component 4: \_\_\_\_\_

Number of Indicators: \_\_\_\_\_

Component 5: \_\_\_\_\_

Number of Indicators: \_\_\_\_\_

Component 6: \_\_\_\_\_

Number of Indicators: \_\_\_\_\_

Work Group # \_\_\_\_\_

## MANAGEMENT COMPONENTS

### GROUP WORKSHEET #2

#### Objective:

Identify indicators that can be used for on-site interviews to measure the degree of management development. Each management component previously identified must have an associated indicator. There should be no more than 1 or two indicators per component if possible, and the indicators should be:

Easy to Measure

Comparable among different facilities

Indicate where the organization is managerially.

#### Component 1:

Indicator: \_\_\_\_\_

#### Component 2:

Indicator: \_\_\_\_\_

#### Component 3:

Indicator: \_\_\_\_\_

Component 4:

Indicator: \_\_\_\_\_

Component 5:

Indicator: \_\_\_\_\_

Component 6:

Indicator: \_\_\_\_\_

Group #: \_\_\_\_\_

**WORKSHEET**  
**COLLECTING INDICATOR DATA**

Group No.:

Component 1: \_\_\_\_\_

Launch Indicator: \_\_\_\_\_

How to Measure Indicator:

Growth Indicator: \_\_\_\_\_

How to Measure Indicator:

Mature Indicator: \_\_\_\_\_

How to Measure Indicator:

Component 2: \_\_\_\_\_

Launch Indicator: \_\_\_\_\_

How to Measure Indicator:

Growth Indicator: \_\_\_\_\_

How to Measure Indicator:

Mature Indicator: \_\_\_\_\_

How to Measure Indicator:

Component 3: \_\_\_\_\_

Launch Indicator: \_\_\_\_\_

How to Measure Indicator:

Growth Indicator: \_\_\_\_\_

How to Measure Indicator:

Mature Indicator: \_\_\_\_\_

How to Measure Indicator:

Component 4: \_\_\_\_\_

Launch Indicator: \_\_\_\_\_

How to Measure Indicator:

Growth Indicator: \_\_\_\_\_

How to Measure Indicator:

Mature Indicator: \_\_\_\_\_

How to Measure Indicator:

Component 5: \_\_\_\_\_

Launch Indicator: \_\_\_\_\_

How to Measure Indicator:

Growth Indicator: \_\_\_\_\_

How to Measure Indicator:

Mature Indicator: \_\_\_\_\_

How to Measure Indicator:

Component 6: \_\_\_\_\_

Launch Indicator: \_\_\_\_\_

How to Measure Indicator:

Growth Indicator: \_\_\_\_\_

How to Measure Indicator:

Mature Indicator: \_\_\_\_\_

How to Measure Indicator:

## **FIELD TESTING THE MANAGEMENT ASSESSMENT TOOL**

NAME OF CA: \_\_\_\_\_

1. Assign CA staff to work on management development assessments between 28 June and 7 July (assume full time)

Name and Designation of Staff Members

2. CA staff arrange dates for the management development assessment with one NGO (July 1 or July 4), keeping in mind:

- two people will conduct a management development assessment
- the field test will consist of two teams conducting a management development assessment of the same NGO
- the NGO should be within one hour of Dhaka

Name of NGO:

Date to Conduct Management Development Assessment:

3. A tentative schedule should be developed for Management Development Assessments to be conducted during July and August

Name of NGO

Date

**RESULTS OF WORKSHOP ASSESSMENT BY PARTICIPANTS**

**WORKING TOWARD  
SUSTAINABILITY WORKSHOP  
22 - 24 JUNE, 1993**

**ASSESSMENT**

	NOT USEFUL 1	2	3	4	VERY USEFUL 5
1. DID YOU FIND THIS WORKSHOP USEFUL FOR DEVELOPING A MANAGEMENT ASSESSMENT TOOL?			13	24	23
2. DO YOU THINK THIS TYPE OF ASSESSMENT TOOL WILL BE USEFUL FOR YOUR CA OR NGO?		3	17	28	12
3. DID YOU FIND THE COMPOSITION OF THE GROUPS HELPING TO ACHIEVE THE GROUP TASKS?		4	17	30	9
4. DID YOU FIND THE PRESENTATIONS AND MATERIALS USEFUL?		10	15	26	9
5. DID YOU FIND THE BALANCE BETWEEN PLENARY AND GROUP SESSIONS ADEQUATE? (CIRCLE ONE)					
A. YES,	37				
B. NO, WANTED MORE LECTURES	15				
C. NO, WANTED MORE GROUP SESSIONS	4				
6. COMMENTS AND RECOMMENDATIONS:					
<u>SEE FOLLOWING PAGES</u>					

THANK YOU!

**NOTE ON EVALUATION: NUMBERS WITHIN THE BOXES REPRESENT THE TOTAL RESPONSES FROM PARTICIPANTS**

**COMMENTS FROM WORKSHOP ASSESSMENT  
COMPLETED BY PARTICIPANTS**

Total Number of Respondents: 60

Workshop was unexpectedly useful

Participants should have their name tags for proper identification

Sitting arrangement did not seem to be appropriate for a workshop. It seemed more like a classroom.

Involve more people from NGOs.

The orientation materials should be available during the presentation

More examples need from field experience

Groups should be homogeneous according to experience and background

More reading materials required

Need more time

Maintain the same style

Plenary and group sessions should be chalked more designed way

Formulation of groups were not homogeneous/balanced. Need more time to complete such a very complicated job/task.

In next workshop the group sessions we may ask different people to present their ideas not the same people every time. This will increase leadership ability, I guess.

I think this work would be more successful if you had a plenary with example of indicators with how to measure it before each group sessions.

Good workshop venue. To have better understanding, follow-up workshop may be organized.

Need more materials during presentation.

During group formation the composition of the groups must be balanced.

This workshop has help m of developing management development.

Workshop outside Dhaka may be more interesting and fruitful.

Really its very helpful.

It will be very much useful to assess the own organization that which stage we are. Need more workshop on it.

I think the workshop was very much useful. But the nature of my organization encourages to suggest to include the volunteers (LEADERS) in it.

It would be better if we got more materials.

First, thank you all for everything. This workshop is obviously helpful to us. We've learned to think strategically about the management of NGOs. But I would also like to see the practical implementation of this result/workshop.

Time should be more as well as less lecture.

Distribute materials showed on the projector (I felt disturbed to follow lecture consequently taking note). Discussion/lecture should be done taking sample case.

This workshop will help us in managing task. I wish such workshop will how (word not legible)

At this stage it will be very hard for any comments & recommendations. Hoping for future workshops

The workshop will be useful for the implementation work in project.

Finalization before testing of the assessment tools could be done in the workshop and could be presented to the groups for comments criticism.

Reference or reading materials are absent. We need some materials of this type. Group was too big. Need "GOOD REFERENCE MATERIALS".

There should have been more a scope for comments/observation in plenary.

This type of workshop should be held once in a year.

Follow up workshop will be helpful in have clarifications on some specific issues.

Follow up workshop will the same participants will be helpful.

Overall management good but for group discussion time was not enough.

The duration of the workshop should be more lengthy.

The presentations were prod.(?). The materials were very basic. Sometimes we could not read the transparencies, the handouts used to gather information could have been designed better. I question forward preparations.

Well organized workshop and enough time was for group discussion.

Follow up workshop will be helpful.

This was my first ever attended workshop. So whatever I have heard and done was very interesting and exciting. This was a very nice workshop and the footstep for me.

Background materials were inadequate. Handouts could have been given beforehand.

Group work presentation could have been useful.  
Wanted more plenary discussion.

Materials distributed are not adequate.  
Materials should be distributed in advance.

This type of workshop should be outside Dhaka for full concentration.

Materials would be very helpful.

There should have been more theoretical lectures and sharing of experiences with programs outside Bangladesh. Name of the workshop was confusing, and I was not prepared, in my mind was not set to attend the workshop as it was.

It would be better if lectures are more elaborate.

Material should have been distributed before lecture or at the time of deliberation. Time fixed for group discussion is not sufficient.

I have always found the MSH experts brilliant. This one was very good and useful. It was good that it was in Dhaka then I don't have to worry about home. Thanks.

If the group sessions held among the same staffs of same organization, the result or outcome more fruitful.

This workshop is very useful in implementing activities and programs..

Very productive and satisfactory workshop. Group interaction was very good in spite of the exceptionally large number of participants.

**ANNEX IV:**

**FPSTC**

**MANAGEMENT DEVELOPMENT ASSESSMENT PLAN,  
MANAGEMENT DEVELOPMENT ASSESSMENT INSTRUMENT,  
AND GUIDELINES FOR A MANAGEMENT DEVELOPMENT ASSESSMENT**

## MANAGEMENT DEVELOPMENT ASSESSMENT PLAN

### Management Component: Organizational Structure and Lines of Communication

End points	Specific Indicators	Sources	Key Questions
<b>Management and Administrative Practice</b>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Organogram may or may be in place. If so, not well defined for need.</li> <li>- Absence of management manual</li> <li>- GM/EC meetings are not routinely held</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Organogram in place and well defined</li> <li>-standard management manual developed but not always followed</li> <li>-75% of scheduled meetings take place</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>-Organogram is modified according to need</li> <li>-Standard management manual in place and consistently followed</li> <li>-scheduled meetings take place routinely</li> </ul>	<ul style="list-style-type: none"> <li>-Interview with Organizational leader and Project Coordinator</li> <li>- Documents to review: Organogram, Constitution, Project Document, Project Management Manual</li> </ul>	<ol style="list-style-type: none"> <li>1. Does the Project/NGO have an Organogram?</li> <li>2. Does the Project/NGO have and use a management manual</li> <li>3. How frequently are meetings held? (See Detailed Questionnaire for specific questions to be asked during Management Development Assessment)</li> </ol>
<b>Reporting and MIS</b>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Service output information exists</li> <li>- Reports by activities and uses standard charts</li> <li>-Semi-annual report is prepared on activities and expenses</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>-MIS for service coverage</li> <li>- Target oriented reports are used for analysis</li> <li>-Program reporting contains financial information</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>-MIS provides program impact information</li> <li>-MIS relates inputs and outputs</li> </ul>	<p>Interviews with Project Coordinator</p> <p>Review Documents:</p> <p>Record keeping formats</p> <p>Reporting forms</p> <p>Various reports (semi-annual and annual)</p>	<ol style="list-style-type: none"> <li>1. How do you keep records on programs and activities?</li> <li>2. Who prepares reports and in which form?</li> </ol>

End points	Specific Indicators	Sources	Key Questions
Objectives	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Objectives unclear and unrealistic, less than 30% of objectives met</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Objectives clear and = 30% of objectives being met</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Measure objectives are being met at 80% level</li> </ul>	<p>-Interview with Organizational leader and Project Coordinator</p> <p>- Documents to review:</p> <p>Constitution, Project Document,</p>	<ol style="list-style-type: none"> <li>1. What are the objectives of the Project/NGO and its other programs?</li> <li>2. What are the ongoing activities?</li> <li>3. Are objectives being met?</li> </ol>
Target Groups	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Absence of well-defined target group</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Needs based target group defined</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Services provided to the target groups</li> </ul>	<p>Interviews with Project Coordinator</p> <p>Review Documents:</p> <p>Annual Plan Monitoring Plan Reports (semi-annual and annual)</p>	<ol style="list-style-type: none"> <li>1. To whom do you provide services?</li> <li>2. How do you identify target group?</li> <li>3. How do you reach target group?</li> </ol>
Strategic and Annual Plans	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Annual Plan exists (not well defined)</li> <li>- Plan prepared by on person</li> <li>- No monitoring plan in place</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Need Based annual plan exists</li> <li>-Executive Committee involved in Planning</li> <li>-Monitoring Plan in place but monitoring carried out sporadically</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Both annual and strategic plan exist</li> <li>- EC, PAC and CA involved in planning</li> <li>-Quarterly monitoring plan in place</li> </ul>	<p>Interview with Organization Leader and Project Coordinator</p> <p>Review Documents:</p> <p>Annual Plan Strategic Plan Monitoring Plan Monitoring Reports</p>	<ol style="list-style-type: none"> <li>1. Does the Project/NGO have strategic/ annual Plans?</li> <li>2. Who prepares the plans?</li> <li>3. In there a system for monitoring Plan implementation?</li> </ol>

## Management Component: Leadership

Bad points	Specific Indicators	Sources	Key Questions
Decision Making and Delegation	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- executive Director makes majority of decisions</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Executive committee functioning</li> <li>- Formation of other working committees with delegated authority</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Bottom -up decision making</li> <li>- Accountability of leadership established</li> </ul>	<p>-Interview with Authorized Officer, Project Coordinator, NGO President</p> <p>- Documents to review: Executive Committee Meeting minutes, Staff meeting minutes, Minutes of other committees</p>	<ol style="list-style-type: none"> <li>1. How are decisions made in Project/NGO?</li> <li>2. In absence of Top Executive who takes responsibility and under what provisions?</li> </ol>
Experience and Competence	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Limited experience and training relative to tasks and job</li> <li>- Plan, budget, Project document prepared by CA</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Received training and has more experience</li> <li>- Plan, budget, Project Document prepared jointly by CA and NGO</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Experienced Exec. Director with future vision</li> <li>- Plan, budget, Project Document written by NGO with assistance of CA</li> </ul>	<p>Interviews with Authorized Official and Project Coordinator</p> <p>Review Documents: Training Register Personnel Files Funding approvals for Training</p>	<ol style="list-style-type: none"> <li>1. How long is Exec Dir. working?</li> <li>2. What training has exec Dir received in relation to current job?</li> <li>3. What is the Project Document development process?</li> </ol>
Operational Efficiency	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Priorities unclear</li> <li>- No new ideas generated at NGO level</li> <li>- Expenses not predictable</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Priorities better established</li> <li>- Some new ideas generated</li> <li>- Actual expenses in line with budget</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Priorities clear and well established</li> <li>- New ideas generated and implemented</li> <li>- Funds used effectively</li> </ul>	<p>Interview with Organization Leader and Project Coordinator</p> <p>Review Documents: Project Document Budget Plan</p>	<ol style="list-style-type: none"> <li>1. What are the priorities of the Project/NGO?</li> <li>2. What ideas are there for expanding the program?</li> <li>3. How are funds utilized?</li> </ol>

## Management Component: Human Resources

End points	Specific Indicators	Sources	Key Questions
Staff Training and Development	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- 25% or less of staff is trained</li> <li>- Staff development plan does not exist</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- &gt;25% but &lt;100% of staff is trained</li> <li>- Staff development plan exists but depends on external resources and support</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- 100% of staff is trained</li> <li>- Well developed staff development is in place</li> </ul>	<ul style="list-style-type: none"> <li>- Interview with Project Coordinator,</li> <li>- Documents to review:                             <ul style="list-style-type: none"> <li>Training Plan</li> <li>Training register and budget</li> <li>Training Needs Assessment Report</li> </ul> </li> </ul>	<ol style="list-style-type: none"> <li>1. How many of the staff in the Project/NGO are trained?</li> <li>2. What is the procedure for training staff?</li> </ol>
Staff Supervision	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Effective supervisory system not in place</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Staff performance reviews conducted and system in place but not fully utilized to maximum potential</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Effective supervisory system in place</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with Project Coordinator</li> <li>Review Documents:                             <ul style="list-style-type: none"> <li>Work Plan</li> <li>Movement Register</li> <li>Spot Check Book</li> </ul> </li> </ul>	<ol style="list-style-type: none"> <li>1. How do you supervise your staff/program?</li> </ol>
Job Descriptions	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Job Descriptions exists, but poorly defined, overlaps</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Job Descriptions exist but staff can not state them clearly</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Employees can fully state their job descriptions</li> <li>- Job Descriptions are revised periodically according to the needs of the Project/NGO</li> </ul>	<ul style="list-style-type: none"> <li>Interview with Organization Leader and Project Coordinator</li> <li>Review Documents:                             <ul style="list-style-type: none"> <li>Job Descriptions</li> </ul> </li> </ul>	<ol style="list-style-type: none"> <li>1. What are staff responsibilities?</li> <li>2. Do all staff have job descriptions?</li> <li>3. Are these job descriptions periodically reviewed?</li> </ol>

## Management Component: Community Participation

End points	Specific Indicators	Sources	Key Questions
<b>Membership</b>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Exec. Committee members are primarily family, friends and relatives</li> <li>- Decisions are made by the Chief Executive</li> <li>- Low attendance (less than 2/3) in meetings and meetings are held irregularly</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Members begins to include local community people</li> <li>- Members participate in decision making</li> <li>- Attendance increases (2/3+) in meetings and meetings are held regularly</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- majority members come from the community</li> <li>- community participation in planning, project review and design</li> <li>- meetings and attendance as per constitution</li> </ul>	<ul style="list-style-type: none"> <li>- Interview with Organizational leader and Project Coordinator</li> <li>- Documents to review:</li> </ul> <p>Constitution, Membership List Meeting minutes</p>	<ol style="list-style-type: none"> <li>1. Who are the members of the NGO/Exec. Committee?</li> <li>2. Who is involved in planning and decision making?</li> <li>3. How frequently are meetings held?</li> </ol>
<b>Contributions</b>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- In kind services by some members</li> <li>- &lt; 10% of target group pays for services</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Receives donations of land, office space or equipment</li> <li>- 10-40% of target group paying for services</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Project, NGO generates support through donations and collaborations from other agencies</li> <li>- 40%+ of target group pays for services</li> </ul>	<p>Interviews with Project Coordinator</p> <p>Review Documents: Subscription Lists Service Statistics Financial Records and reports Contribution Report</p>	<ol style="list-style-type: none"> <li>1. How do members contribute to the Project/NGO?</li> <li>2. Do program beneficiaries pay for services?</li> <li>3. Does the Project/NGO have plan to raise funds?</li> </ol>

## Management Component: Finance

End points	Specific Indicators	Sources	Key Questions
Source of Funds	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Source of Funds only from donors</li> <li>- Informal office space arrangement</li> <li>- No charges for services</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- More than one source of funds</li> <li>- Rented office space</li> <li>- Applying service charges</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- At least 25% of funds from non donor sources</li> <li>- Owns office space</li> <li>- Service charge policy exists and is applied</li> </ul>	<ul style="list-style-type: none"> <li>- Interview with Authorized Officer and Project Coordinator</li> <li>- Documents to review: Budget, Documents regarding office space</li> <li>- H/H card</li> <li>- Financial Report</li> </ul>	<ol style="list-style-type: none"> <li>1. What are the sources of funds of the Project/NGO?</li> <li>2. Is there a charge for services?</li> <li>3. Does the NGO own its office space?</li> </ol>
Financial Management	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- No standard accounting system</li> <li>- Audit report does not exist</li> <li>- Few Financial reports produced</li> <li>- No fund raising activities</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Standard accounting system but not followed properly</li> <li>- Audit identifies few problems</li> <li>- Quarterly financial reports exist</li> <li>- Fund raising activities started</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Joint Finance and program reports produced</li> <li>- Audit identified minor problems</li> <li>- Fund raising plans linked to annual, strategic plans</li> </ul>	<ul style="list-style-type: none"> <li>- Interviews with Project Coordinator</li> <li>- Review Documents: Financial Records</li> <li>- Audit Reports</li> <li>- Fund raising reports</li> </ul>	<ol style="list-style-type: none"> <li>1. How does the Project/NGO maintain financial records?</li> <li>2. Who carries out the audits?</li> <li>3. Does the Project/NGO carry out fund raising activities?</li> </ol>

# FPSTC MANAGEMENT DEVELOPMENT ASSESSMENT INSTRUMENT

## Detailed Questionnaire (4 July 1993)

### Identification:

NGO Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

Date of Assessment: \_\_\_\_\_

### General Background Information:

Date NGO Established: \_\_\_\_\_

Date Project Initiated: \_\_\_\_\_

Number of NGO Members: \_\_\_\_\_

Types of NGO Activities: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Major Events in the NGO's history:

Registration: \_\_\_\_\_

Constitution: \_\_\_\_\_

Revision of Constitution: \_\_\_\_\_

Other events: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Management Component: Organization Structure and Lines of Communication**

**End Point: Management Practices**

Interviewee:

Interviewer:

1. Is there an Organogram for the Project/NGO?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. How was the Organogram developed?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

3. Does the Project/NGO have a Management Manual?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. Is the NGO familiar with the Project management manual?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

5. Has the NGO adopted any of the contents of the Project management manual?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

6. Has the Executive Committee of the NGO reviewed the Project management manual?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

7. Do meetings held by the Project/NGO follow the requirements of the Constitution?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

8. How frequently are meetings held?

Meetings	Monthly	Quarterly	Semi-annual	Annual
Project staff				
Executive Committee				
Advisory Committee				
General Membership				

**End Point: Reporting and MIS**

1. How does the Project/NGO maintain records of activities?

Project:

NGO:

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. Does the Project Coordinator regularly submit reports to the NGO Executive Committee?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

3. Does the Executive Committee regularly request to see Project reports?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. Are project reports reviewed during Executive Committee meetings?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

5. Does the Executive Committee discuss Project Reports?

Objectives: Yes \_\_\_\_\_ No \_\_\_\_\_

Targets: Yes \_\_\_\_\_ No \_\_\_\_\_

Activities: Yes \_\_\_\_\_ No \_\_\_\_\_

Expenditures: Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

6. Does the NGO share reports on other program activities with the Project Coordinator?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

7. What are the contents of reports on other NGO activities?

Review of Objectives: \_\_\_\_\_

Review of Targets: \_\_\_\_\_

Review of Activities: \_\_\_\_\_

Review of Expenditures: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

8. Who prepares reports for the Project/NGO?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

9. Is there a designated member of the NGO who is responsible for preparing reports?

On Programs: \_\_\_\_\_

On Finances: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

10. What procedures from the Project in regard to preparing reports have been adopted by the NGO?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

## Management Component: Mission and Plans

Interviewee:

Interviewer:

### End Point: Objectives

1. Can the Project Coordinator indicate the Project objectives?

Yes \_\_\_\_\_ No \_\_\_\_\_

Remarks: \_\_\_\_\_

2. Do other NGO programs have objectives?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

3. What are the current activities being carried out by the NGO and their results?

Activities	Results

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. How does the Project/NGO measure the results of program activities:

Program Measurements	Project	NGO
Objectives		
Targets		
Activities		
Expenditures		

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

**End Point: Target Groups**

1. What are the Project/NGO specific Target Groups?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

2. How is/was the target group identified?

Needs Assessment: \_\_\_\_\_

NGO Mission: \_\_\_\_\_

Donor: \_\_\_\_\_

Other: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

3. How was the NGO involved in establishing the target group for the Project?

Document: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. What is the Project/NGO strategy for reaching target groups?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

**End Point: Annual and Strategic Plans**

1. Does the Project/NGO have an annual/Strategic Plan?

	Annual	Multi-year	Strategic
Project			
NGO			

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

2. Does the NGO participate in formulating the Project's Plans?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

3. Does the NGO review the Project plans?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

4. Has the NGO adopted any of the techniques from the Project in formulating plans?

Setting Objectives: \_\_\_\_\_

Preparing Budgets: \_\_\_\_\_

Preparing Work Plans: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

5. How does the Project/NGO Monitor the Implementation of its Plans?

NGO member	Role in Monitoring	Frequency

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

## Management Component: Leadership

Interviewee

Interviewer:

**End Point: Decision Making and Delegation**

1. How are the major decisions in the Project/NGO made

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. Who makes the decisions?

On Objectives: \_\_\_\_\_

On Activities: \_\_\_\_\_

On Budget: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. How does the Executive Committee participate in decision related to the Project?

Financial matters(purchasing, signing checks, other): \_\_\_\_\_

Hiring/Firing: \_\_\_\_\_

Program Activities: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. When the Project Coordinator is away, who makes decisions?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

## Endpoint: Experience and Competence

1. How long have NGO members and Project staff been with the project?

Position	Years
Exec Com. Pres.	
Exec Com. VP	
Exec. Com Treasurer	
Authorized Official	
Project Coordinator	
Office Manager	

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

2. What type of training has the Project Coordinator received:

Position	Type of Training	Organization	Years
Exec Com. Pres.			
Exec Com. VP			
Exec. Com. Treasurer			
Authorized Official			
Project Coordinator			
Office Manager			

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

4. Who is involved in preparing the Project Document and what are their roles?

Preparer	Idea Generation	Writing	Review	Finalization
Project Coordinator				
Executive Committee				
Project Staff				
CA Program officer				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

6. What kind of help and how much help does the NGO get from the CA in preparing project documents?

Idea Generation	Writing	Review	Finalization

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

**Endpoint: Operational Efficiency**

1. What are the priorities of the Project/NGO?

Institution	Quality	Expansion	Sustainability	Other
Project				
NGO				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

2. How are the priorities established?

Institution	Community Needs	Donor Priorities	NGO Mission	Other
Project				
NGO				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

3. Are there any new ideas for expanding Project/NGO activities?

Institution	Quality	Expansion	Sustainability	Other
Project				
NGO				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

4. Has the Project/NGO recently implemented any new ideas?

Institution	Quality	Expansion	Sustainability	Other
Solve Problems				
Improve Activities				
Raise Funds				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

5. Does the Project/NGO prepare a budget for all its activities?

Project: Yes \_\_\_\_\_ No \_\_\_\_\_

NGO: Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

5. Does the Project report on the expenditures for each activity:

Project: Yes \_\_\_\_\_ No \_\_\_\_\_

NGO: Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

6. Who in the NGO is responsible for preparing budgets?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

7. Does the Project/NGO review expenses after carrying out an activity?

Project:            Yes \_\_\_\_\_            No \_\_\_\_\_

NGO:                Yes \_\_\_\_\_            No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

8. What kind of help does the NGO request from the Project Coordinator in preparing budgets for other programs or activities?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

## Management Development Component: Human Resources

### End Point: Staff Training and Development

1. How many of the Project/NGO staff are Trained?

Institution	Field Staff	Management Staff	Executive Committee
Project			
NGO			

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

2. What are the procedures for selecting someone for training?

Institution	Project	NGO	Donors
Project			
NGO			

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

3. Is there any plan for training Project/NGO staff?

Project:        Yes \_\_\_\_\_        No \_\_\_\_\_

NGO:            Yes \_\_\_\_\_        No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

4. Do Executive Committee members seek training opportunities to help them carry out their responsibilities in the NGO or to participate more actively in the Project?

Members                      Types of Training Requested

_____	_____
_____	_____
_____	_____

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

**End Point: Staff Supervision**

1. Who has supervisory responsibilities in the Project/NGO?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. How are supervisory activities organized in the Project/NGO?

Institution	Adhoc	Constitution	Manual	Plan
Project				
NGO				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

3. What is covered during a supervisory visit?

Institution	Performance	Problems	Training Needs	Other
Project				
NGO				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. Does the Executive Committee review supervisory reports from the Project?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

5. What supervisory techniques from the Project has the NGO adopted for its other Activities?

Spot Visits (surprise, scheduled) \_\_\_\_\_

Checklists for observation \_\_\_\_\_

Checklists for reports \_\_\_\_\_

Formal Interviews \_\_\_\_\_

Others \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

**End Point: Job Descriptions**

1. Who in the Project/NGO has a job Description?

Institution	Field Staff	Management Staff	Executive Committee
Project			
NGO			

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. How much input does the Executive Committee have in preparing job descriptions?

Executive Committee	Idea Generation	Writing	Review	Finalization
President				
VP				
General Secretary				
Other				

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

3. When was the last time the Project or NGO Job Descriptions reviewed or revised? For what reasons?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

4. What are the Executive Committee's Terms of Reference for its role and functions?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

## Management Component: Community Participation

Interviewee:

Interviewer:

End Point: Membership

1. Who are the members of the NGO?

Members	No	%
Family members, friends, relatives		
Influential members of the comm.		
General members of the comm.		

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. What role do members play in the Project/NGO?

Members	Decision making	Monitoring	Fund Raising	Implementation	Other
Family members, friends, relatives					
Influential members of the comm.					
General members of the comm.					

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

3. How does the NGO recruit new members?

As per constitution: \_\_\_\_\_

Other: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

4. What is the Percentage of attendance of membership at meetings?

Members	No	%
Family members, friends, relatives		
Influential members of the comm.		
General members of the comm.		

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

**End Point: Contributions**

1. How many members subscribe regularly?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

2. How much revenue does the Project/NGO receive through community contributions?

Source of Funds	Project	NGO
Subscription		
In-Kind Donations		
Cash Donations		
Service Fees		

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

3. What percentage of clients pay for services? \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. What government agencies or other NGOs does the Project/NGO collaborate with in order to share or reduce program costs (ex. MOH, MSW, MOE, MOA; income generation, satellite clinics, referrals, etc)?

Agency/NGO	Type of Activity	Savings

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

**Management Component: Finance**

**Interviewee:**

**Interviewer:**

**End Point: Source of Funds**

1. What are the sources of Funds for the Project/NGO?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. What is the main source of funds for the Project/NGO?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

3. How does the NGO generate funds for Particular activities?

Activity	Method of Generating Funds

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

5. What percentage of the Project/NGO budgets is covered by client fees?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

6. What percentage of the budget does the Project/NGO hope to cover from client fees?

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

7. What are the assets of the NGI

Buildings \_\_\_\_\_ (Tk)

Land \_\_\_\_\_

Vehicles \_\_\_\_\_

Equipment \_\_\_\_\_

Other \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

**End Point: Financial Management**

1. What type of accounting system does the Project/NGO maintain?

Institution	Single Entry	Double Entry
Project		
NGO		

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

2. What is the current balance in the Project/NGO account?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

3. Does the NGO have a skilled accountant to manage its funds?

Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

4. Does the Project/NGO carry out periodic audits?

Project: Yes \_\_\_\_\_ No \_\_\_\_\_

NGO: Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

5. What major/minor problems have the audits discovered?

Institution	Minor Problems	Major Problems
Project		
NGO		

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

6. Have past problems discovered during an audit been resolved?

Project: \_\_\_\_\_

NGO: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

7. How much additional revenue does the Project/NGO earn from special fund raising activities?

Institution	Fund Raising Activity	Amount

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

8. What is this additional revenue used for?

Quality: \_\_\_\_\_

Expansion: \_\_\_\_\_

Sustainability: \_\_\_\_\_

Documents: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_

# **GUIDELINE FOR A MANAGEMENT DEVELOPMENT ASSESSMENT**

## **1. Preparations**

Inform NGO by letter (at least 2 weeks in advance):

- Purpose of visit
- Whom to meet/interview
- Documents to see (broad sense, no special)
- Date of expected visit
- Who is coming.

### **A. Purpose of Visit**

- Collaborative activity
- Mutual benefit
- NGOs are key to implementation
- Jointly assess strengths of the NGO and project and identify areas which could be strengthened by TA to fulfill growth potential of NGO
- Carry out a Management Development Assessment together
- Project has grown to a level, the time to identify how to further develop the NGO to continue to expand its effectiveness.

### **B. Pre-visit Team Meeting**

- Review the Questionnaire to ensure common understanding
- Review the guidelines (specially purpose)
- Develop a workplan specially for the NGO of the MDA team
- Review the indicators to ensure you know the reason for each question

\_ Background information of:

- a) NGO
- b) Project
- c) Key Personnel.

## **2. Implementation**

### **A. Developing a Consensus on how the MDA will be Conducted**

- Brief NGO/Project on purpose
- Discuss workplan for the MDA
- Verify appropriateness of interviewee and availability
- Invite feedback on the purpose and workplan
- Modify the workplan based on the feedback.

MDA workplan:

- Activities
- Timing
- Roles (responsibilities) of the team members
- Proposed sequence of interviews.

### **B. Roles and Responsibilities of Team Members**

- 2 person team
- One member of the team will be the responsible Program Officer
- 4 core teams
- Team members rotate in conducting the interviews

- During the interview the responsible team member asks questions & takes notes on answers
- Co-team member takes notes on the answers
- Co-team member reviews documents.

### **C. Interview Techniques**

- a) Put people at ease:
  - Introduction
  - State the purpose
  - Review the team member roles & seating arrangements
  - Give an idea about the questions you will ask.
- b) Ask questions:
  - First ask question as discussed during the pre-visit preparation
  - If the question is not understood, give some examples
  - If there is difficulty, let the co-team member ask the question
  - If there is still difficulty, go to the next question and return to this question later.
- c) Ensure understanding:
  - Observe eye movement
  - Ask the second interviewee if there are problems of comprehension with the first interviewee.
- d) Taking notes:
  - Self explanatory: write sufficient detail
  - For each interviewee use a separate questionnaire

- For documents: in "Remarks" write example —
  - o Checked minutes: 24/6/91  
Meeting reviewed project documents
  - o Check membership list: 250 members
  - o Checked report: Other activities not mentioned
- Anything exceptional should find out the reason: Why it is happened there.

### 3. Analysis

Step I: Team discusses each response in detail

- Match responses to indicators for each end point
- Draw conclusion about stage of development for each end point.

Step II: Review the conclusion for each of the end points in the component and come to the conclusion about the Milestone for that component.

Step III: Review the conclusions for each component and based on the predominant stage of development in the management, components, identify the overall management capability of the NGO.

### 4. MDA Report

i) Analysis

ii) Profile

iii) Conclusions:

- Contributions of project to NGO
- Contributions of NGO to project
- NGO strengths & weaknesses
- Project strengths & weaknesses

iv) Recommendations

- FPSTC TA

Site	Visit 1 9-12 August 1993	Visit 2 6-9 September 1993
Netrokona	Team II	Team IV
Khulna	Team IV	Team I
Narayanganj	Team III	Team II
Chapai Nowabganj	Team I	Team III

Pre-visit meeting: 8th August 1993  
5th September 1993

Debriefing: 15th August 1993  
12th September 1993

1st Visit Report: by 17th August 1993

2nd Visit Report: by 14th September 1993

#### MDA Team

Team	Team Members
I	Mr. Kamrul Hossain & Mr. Habibur Rahman
II	Dr. Selina Ahmed & Mr. K.M. Sveduzzaman
II	Mr. Rafique Ahmed & Mr. Md. Ismail
IV	Mr. Noor Mohammed & Mr. Ekhlalur Rahman & Ms. Masina Nasran Haque

**ANNEX V:**

**THE ASIA FOUNDATION**

**MANAGEMENT DEVELOPMENT ASSESSMENT INDICATORS,  
MANAGEMENT DEVELOPMENT ASSESSMENT INSTRUMENT, GUIDELINES FOR  
CONDUCTING MANAGEMENT DEVELOPMENT ASSESSMENTS AND WORKPLAN  
FOR JULY - SEPTEMBER 1993**

# THE ASIA FOUNDATION

## MANAGEMENT DEVELOPMENT ASSESSMENT INDICATORS

<b>MISSION AND PLANS</b>
<b>COMMUNITY PARTICIPATION</b> Structures for Community Participation  Community Participation and Contributions
<b>LEADERSHIP</b> Decision Making and Delegation
<b>HUMAN RESOURCE MANAGEMENT</b> Staff Training and Development  Staff Supervision  Personnel Policies
<b>ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION</b> Job descriptions  Management Practices  Reporting and MIS
<b>FINANCE</b> Financial Management  Financial Stability

# THE ASIA FOUNDATION

## MANAGEMENT DEVELOPMENT ASSESSMENT

### COMPONENT: MISSION AND PLANS

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Annual plan in place	<b>GENERAL INDICATOR:</b> Strategic Plan or Annual Plan for more than one year in place	<b>GENERAL INDICATOR:</b> Strategic and Annual Plans in place and followed and/or revised to meet changing needs
<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Plan done by one or more members of Executive committee</li> <li>2. Objectives unclear and unrealistic, less than 50% of objectives being met</li> <li>3. Unclear or non-existent mission statement</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Executive Committee work together to develop plans</li> <li>2. Strategic Plan exists</li> <li>3. Needs-based annual plan exists</li> <li>4. Clear mission statement exists and at least 50% of objectives are accomplished.</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Executive Committee, management and donors are involved in annual plan</li> <li>2. Measurable objectives are being met at 80% level</li> </ol>
<b>SOURCES:</b> <ol style="list-style-type: none"> <li>1. Annual plan</li> <li>2. Strategic plan</li> <li>4. Minutes of EC meetings</li> <li>5. Project Paper Program Goals</li> <li>6. Minutes of any planning meetings</li> <li>7. Mission Statement</li> <li>8. Annual budget and expenditures</li> </ol>		

# THE ASIA FOUNDATION

## MANAGEMENT DEVELOPMENT ASSESSMENT

### COMPONENT: COMMUNITY PARTICIPATION

#### SUBCOMPONENT: STRUCTURES FOR COMMUNITY PARTICIPATION

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Executive Committee has limited membership and participation	<b>GENERAL INDICATOR:</b> Committees enlist subscriptions, meet with more regularity, and hold elections per constitution	<b>GENERAL INDICATOR:</b> Attendance of Committees according to constitution, and some subcommittees exist
<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Membership of primarily family, friends and relatives</li> <li>2. Members subscribe but low attendance</li> <li>3. Little follow up to actions specified in meeting minutes</li> <li>4. No volunteer activity</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Membership begins to include local officials, community leaders, and general members of the community</li> <li>2. Members participate in decision making as per constitution</li> <li>3. Limited voluntary input and assistance</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Regular attendance</li> <li>2. Existence of subcommittees within the Executive Committee</li> <li>3. Community participation in planning and project design</li> <li>4. Full follow up of community recommendations</li> <li>5. Community volunteers in place</li> </ol>
<b>SOURCES:</b> <ol style="list-style-type: none"> <li>1. Executive Committee minutes</li> <li>2. Constitution</li> <li>3. Membership lists</li> <li>4. Budget and financial records</li> <li>5. Annual reports</li> <li>6. Interviews</li> </ol>		

**THE ASIA FOUNDATION**

**MANAGEMENT DEVELOPMENT ASSESSMENT**

**COMPONENT: COMMUNITY PARTICIPATION**

**SUBCOMPONENT: COMMUNITY PARTICIPATION AND CONTRIBUTIONS**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Community provides limited subscription and contributions in-kind	<b>GENERAL INDICATOR:</b> Community generates limited funds, donates land and office space	<b>GENERAL INDICATOR:</b> Community generates membership cash donations, fees for services, land, building, labor and cash donations and utilized resources effectively.
<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. In-kind services by some members</li> <li>2. Plan for service charges exists</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Receives donations of land, office space and/or equipment</li> <li>2. Generated funds from member subscriptions</li> <li>3. Up to 40% of target group paying for services</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Generating support from donations and collaboration of other agencies</li> <li>2. Collection of money from fee for services: more than 40% of target groups paying for services</li> </ol>
<b>SOURCES:</b> <ol style="list-style-type: none"> <li>1. Service statistics</li> <li>2. Subscription lists</li> <li>3. Contribution reports</li> <li>4. Financial records</li> </ol>		

**THE ASIA FOUNDATION**  
**MANAGEMENT DEVELOPMENT ASSESSMENT**

**COMPONENT: LEADERSHIP**

**SUBCOMPONENT: DECISION MAKING AND DELEGATION**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> No delegation of authority and minimum involvement of management and staff in decision making (e.g. top-down planning)	<b>GENERAL INDICATOR:</b> Decisions made with more participation of management	<b>GENERAL INDICATOR:</b> Decision making process is formalized with maximum involvement and delegation
<b>SPECIFIC INDICATORS:</b> 1. Founder makes majority of decisions 2. No management or staff participation on committees 3. Decisions take more than one month to be made	<b>SPECIFIC INDICATORS:</b> 1. Executive committee and management functioning 2. Formation of other working committees but no influence on Executive Committee	<b>SPECIFIC INDICATORS:</b> 1. Participatory planning 2. Both staff and board members involved in decisions and planning
<b>SOURCES:</b> 1. Executive Committee minutes 2. Board meeting minutes 3. Interview 4. Minutes of other committees established 5. List of existing committees		

# THE ASIA FOUNDATION

## MANAGEMENT DEVELOPMENT ASSESSMENT

### COMPONENT: HUMAN RESOURCE MANAGEMENT

#### SUBCOMPONENT: STAFF TRAINING AND DEVELOPMENT

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Majority of staff not highly skilled or have not received any specialized training to conduct their job. Staff development plan does not exist</p>	<p><b>GENERAL INDICATOR:</b> Most of staff is trained, primarily through as hoc training plans from external support. Long-term staff development plans may exist in some stage</p>	<p><b>GENERAL INDICATOR:</b> All staff receive training as required to perform their job. Long-term staff development plans are operational and reflect current and anticipated program plans</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. 25% or less of staff is trained</li> <li>2. Management has participated in formal training per funding source requirements</li> <li>3. Executive Committee has no formal training in organizational or program issues</li> <li>4. Staff development plan does not exist</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. More than 75% of staff is trained</li> <li>2. In-service and refresher training takes place</li> <li>3. Executive Committee and Management have received training according to the needs of the program</li> <li>4. Staff development plans depend on external resources and support</li> <li>5. Needs assessment takes place in order to develop a staff development plan</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. 100% of staff is trained</li> <li>2. Well developed staff development plan is in place</li> <li>3. All staff receive training to fulfil job requirements</li> <li>4. Periodic training needs assessment performed</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Training Plan</li> <li>2. Staff development plan</li> <li>3. Activity reports and annual report</li> <li>4. Personnel Records</li> <li>5. Training Update reports</li> </ol>		

**THE ASIA FOUNDATION**  
**MANAGEMENT DEVELOPMENT ASSESSMENT**  
**COMPONENT: HUMAN RESOURCE MANAGEMENT**  
**SUBCOMPONENT: STAFF SUPERVISION**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Supervisory system does not exist	<b>GENERAL INDICATOR:</b> Supervisory system exists but not fully functional	<b>GENERAL INDICATOR:</b> Supervisory system provides employees and management with feedback on performance
<b>SPECIFIC INDICATORS:</b> 1. No workplans prepared 2. No performance reviews 3. No feedback 4. No log books maintained	<b>SPECIFIC INDICATORS:</b> 1. Staff performance reviews conducted but not fully utilized to maximum potential 2. Workplans exist 3. Log books exist	<b>SPECIFIC INDICATORS:</b> 1. Workplans exist 2. Performance reviews conducted and feedback given to staff 3. Staff performance reviewed by their immediate supervisor
<b>SOURCES:</b> 1. Trip reports 2. Visit book/logbook 3. Supervisory reports 4. Personnel records 5. Job descriptions 6. Workplan		

**THE ASIA FOUNDATION**  
**MANAGEMENT DEVELOPMENT ASSESSMENT**  
**COMPONENT: HUMAN RESOURCE MANAGEMENT**  
**SUBCOMPONENT: PERSONNEL POLICIES**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> No written Personnel Policies in place	<b>GENERAL INDICATOR:</b> Personnel Policies are in place and followed	<b>GENERAL INDICATOR:</b> Personnel Policy manual distributed and followed
<b>SPECIFIC INDICATORS:</b> 1. Initiative taken to develop personnel policies	<b>SPECIFIC INDICATORS:</b> 1. Written policies have been developed but not shared with staff  2. Decisions regarding staff are made by management, and approved by Executive Committee	<b>SPECIFIC INDICATORS:</b> 1. Policies are updated regularly to reflect changing environment  2. Staff have a copy of the policies  3. All decisions are based on notices  4. All decisions recorded
<b>SOURCES:</b> 1. Job descriptions  2. Written policies and procedures  3. Minutes of EC meetings  4. Project Document  5. Internal circulars		

**THE ASIA FOUNDATION**

**MANAGEMENT DEVELOPMENT ASSESSMENT**

**COMPONENT: ORGANIZATIONAL STRUCTURE AND  
LINES OF COMMUNICATION**

**SUBCOMPONENT: JOB DESCRIPTIONS**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Job descriptions do not exist or exist in a simple format	<b>GENERAL INDICATOR:</b> Job descriptions exist for all staff but relationship between positions is not well defined	<b>GENERAL INDICATOR:</b> Job descriptions are part of an overall personnel management system
<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. No job descriptions exist</li> <li>2. Job descriptions not documented</li> <li>3. Job descriptions are verbally transmitted</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Job descriptions exist, but relationships between them is not well defined</li> <li>2. Job descriptions are documented but staff can not state them clearly</li> <li>3. Job descriptions are revised by the manager</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Job description reviewed and periodically modified according to the needs of the organization</li> <li>2. Clear job descriptions are in place and employees can fully state their job</li> </ol>
<b>SOURCES:</b> <ol style="list-style-type: none"> <li>1. Job description</li> <li>2. Interviews</li> <li>3. Organogram</li> </ol>		

**THE ASIA FOUNDATION**

**MANAGEMENT DEVELOPMENT ASSESSMENT**

**COMPONENT: ORGANIZATIONAL STRUCTURE AND  
LINES OF COMMUNICATION**

**SUBCOMPONENT: FORMALIZED MANAGEMENT PRACTICES**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Management practices and systems are not documented	<b>GENERAL INDICATOR:</b> Management practices and systems developed, documented and followed	<b>GENERAL INDICATOR:</b> Management systems and practices are reviewed by all staff and the system is revised to respond to a changing environment
<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Organigram may or may not be in place.</li> <li>2. Absence of a general operations manual for the organization</li> <li>3. No formal system for procurement and distribution of commodities</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Organigram in place and facilitates project implementation</li> <li>2. Organigram updated regularly and employee appraisal instituted</li> <li>3. Guidelines for general operations developed and followed but not updated on a regular basis (e.g. annually)</li> </ol>	<b>SPECIFIC INDICATORS:</b> <ol style="list-style-type: none"> <li>1. Capable of restructuring to respond to needs of changing environment</li> <li>2. Management systems facilitates quality assurance and program effectiveness</li> <li>3. Chain of command specified on Organigram internalized by staff</li> <li>4. General operating manual updated on a regular basis</li> </ol>
<b>SOURCES:</b> <ol style="list-style-type: none"> <li>1. Organigram or Project Document</li> <li>2. Minutes of meetings</li> <li>3. Personnel policies</li> <li>4. Job descriptions</li> </ol>		

**THE ASIA FOUNDATION**  
**MANAGEMENT DEVELOPMENT ASSESSMENT**  
**COMPONENT: ORGANIZATIONAL STRUCTURE AND**  
**LINES OF COMMUNICATION**  
**SUBCOMPONENT: REPORTING AND MIS**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Reports prepared according to instructions given by funding source but not shared with staff	<b>GENERAL INDICATOR:</b> Programmatic and financial information is collected to prepare required reports and for internal use	<b>GENERAL INDICATOR:</b> Reports prepared according to instructions provided by the funding source, information shared with concerned staff and actions taken on shared information
<b>SPECIFIC INDICATORS:</b> 1. Service Output Information exists  2. Report by Activities and Standard Chart	<b>SPECIFIC INDICATORS:</b> 1. Reports shared with other staff	<b>SPECIFIC INDICATORS:</b> 1. MIS provides program impact information  2. Actions taken on MIS information  3. Complete and complex input and output system
<b>SOURCES:</b> 1. Reporting forms  2. Activity reports  3. Semi-annual reports  4. Grant agreements		

**THE ASIA FOUNDATION**  
**MANAGEMENT DEVELOPMENT ASSESSMENT**  
**COMPONENT: FINANCE**  
**SUBCOMPONENT: FINANCIAL MANAGEMENT**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Financial record keeping for donor follows the basic instructions of the funding source	<b>GENERAL INDICATOR:</b> Financial record keeping for donor funds follows the instructions of the funding source	<b>GENERAL INDICATOR:</b> Financial record keeping provides feedback to the Executive Committee in addition to meeting donor requirements
<b>SPECIFIC INDICATORS:</b> 1. Fund raising activities not recorded in cash books and ledger 2. Accounting system in place but Family Planning audit identifies more than ten problems 3. No financial reports on organizations activities exist	<b>SPECIFIC INDICATORS:</b> 1. Fund raising activities take place and are accounted for 2. Family Planning audit identifies less than ten problems 3. Financial report on organization exists 4. Audit of NGO takes place annually	<b>SPECIFIC INDICATORS:</b> 1. Finance and Management are integrated - unit cost system and/or budget reviewed by finance, technical and management staff jointly 2. Cost savings programs and incentive systems exist to maximize efficiency and productivity 3. Strategic Plan and budget plan are fully integrated 4. Family Planning audit identifies less than three problems
<b>SOURCES:</b> 1. Minutes of EC meetings related to fund raising activities 2. Audit reports 3. Financial reports 4. Budget variance reports 5. Incentive system policies 6. Unit cost accounting and cost savings plans/policies		

**THE ASIA FOUNDATION**  
**MANAGEMENT DEVELOPMENT ASSESSMENT**  
**COMPONENT: FINANCE**  
**SUBCOMPONENT: FINANCIAL STABILITY**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> Dependent on one project/funding source for all activity	<b>GENERAL INDICATOR:</b> Managing more than one project with separate funding sources. Funding extends for three years or more. Organization implements a plan for recovering costs.	<b>GENERAL INDICATOR:</b> Managing more than one project with separate funding sources. Strategic planning ensures that new projects are being developed to ensure continued operations of the organization. Cost sharing or revenue generating activities contribute five percent of the total family planning budget of the past year.
<b>SPECIFIC INDICATORS:</b> 1. Only one source of funds. Not seeking additional donor support 2. Plan for service charges exists	<b>SPECIFIC INDICATORS:</b> 1. More than one source of funds exists 2. Up to 40% of target group paying for services 3. Three year commitment of support for project activities 4. Seeking support for other activities	<b>SPECIFIC INDICATORS:</b> 1. Able to maintain cash reserves equal to five percent of external funding 2. Collection of money from fee for services: more than 40% of target groups paying for services 3. Managing more than one funding source 4. Seeking support for new projects 5. Cost sharing plan developed
<b>SOURCES:</b> 1. ELCO cards 2. Patient Register 3. Lease or Title 4. Budget 5. Financial Statements		

**THE ASIA FOUNDATION**  
**MANAGEMENT DEVELOPMENT ASSESSMENT**

**VERSION 2.0**  
**8 JULY '93**

NAME OF NGO:

DATE:

TEAM PROGRAM STAFF CONDUCTING ASSESSMENT:

Management Development Assessments are conducted with three sets of staff from each organization. No others will be present during the interviews.

NGO STAFF INTERVIEWED

MANAGEMENT STAFF

NAME

- |    |                      |
|----|----------------------|
| 1. | Project Management   |
| 2. | Financial Management |
| 3. |                      |

This meeting should take two to three hours

FIELD STAFF

NAME

- |    |              |
|----|--------------|
| 1. | Supervisor   |
| 2. | Field Worker |
| 3. | Field Worker |

This meeting should be conducted jointly with all field staff and should take about one hour.

EXECUTIVE COMMITTEE

NAME

DESIGNATION

- |    |  |
|----|--|
| 1. |  |
| 2. |  |

This session should last approximately one and one half hours.

## NOTE TO TAF PROGRAM STAFF:

All discussions should begin with a brief explanation of what a management development assessment is, and how the information will be used in the future. Emphasis should also be made on what a management assessment is not.

As a way of initiating discussions and to put NGO staff at ease, ask Management staff and the Executive Committee for a brief history of the organization, and how that person or persons came to be affiliated with it. Field staff could be asked how long they have been with the organization, and their impressions of the organization. The meetings should be structured in a way which encourages conversation, rather than simply question and answer sessions. If possible, blend questions into a conversation. During the meetings, NGO staff should be encouraged to expand and elaborate on points as they wish, as it is possible that they may provide information which is relevant to questions. During the meetings, one TAF staff person should be primarily responsible for conducting the session while the other completes the assessment form.

TAF staff should pursue follow up questions, but it is important to remember that you want the information which will identify the management capabilities of the organization so that you can prioritize technical assistance to strengthen those capabilities.

## **MANAGEMENT DEVELOPMENT ASSESSMENT COMPONENTS, SUBCOMPONENTS AND GENERAL INDICATORS**

### **MISSION AND PLANS**

Launch: Annual plan in place

Growth: Strategic Plan or Annual Plan for more than one year in place

Maturity: Strategic and Annual Plans in place and followed and/or revised to meet changing needs

### **COMMUNITY PARTICIPATION**

#### Structures for Community Participation

Launch: Executive Committee has limited membership and participation

Growth: Committees enlist subscriptions, meet with more regularity, and hold elections per constitution

Maturity: Attendance of Committees according to constitution, and some subcommittees exist

#### Community Participation and Contributions

Launch: Community provides limited subscription and contributions in-kind

Growth: Community generates limited funds, donates land and office space

Maturity: Community generates membership cash donations, fees for services, land, building, labor and cash donations and utilized resources effectively.

### **LEADERSHIP**

#### Decision Making and Delegation

Launch: No delegation of authority and minimum involvement of management and staff in decision making (e.g. top-down planning)

Growth: Decisions made with more participation of management

Maturity: Decision making process is formalized with maximum involvement and delegation

## **HUMAN RESOURCE MANAGEMENT**

### **Staff Training and Development**

**Launch:** Majority of staff not highly skilled or have not received any specialized training to conduct their job. Staff development plan does not exist

**Growth:** Most of staff is trained, primarily through as hoc training plans from external support. Long-term staff development plans may exist in some stage

**Maturity:** All staff receive training as required to perform their job. Long-term staff development plans are operational and reflect current and anticipated program plans

### **Staff Supervision**

**Launch:** Supervisory system does not exist

**Growth:** Supervisory system exists but not fully functional

**Maturity:** Supervisory system provides employees and management with feedback on performance

### **Personnel Policies**

**Launch:** No written Personnel Policies in place

**Growth:** Personnel Policies are in place and followed

**Maturity:** Personnel Policy manual distributed and followed

## **ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION**

### **Job descriptions**

**Launch:** Job descriptions do not exist or exist in a simple format

**Growth:** Job descriptions exist for all staff but relationship between positions is not well defined

**Maturity:** Job descriptions are part of an overall personnel management system

### **Management Practices**

**Launch:** Management practices and systems are not documented

**Growth:** Management practices and systems developed, documented and followed

**Maturity:** Management systems and practices are reviewed by all staff and the system is revised to respond to a changing environment

### **Reporting and MIS**

**Launch:** Reports prepared according to instructions given by funding source but not shared with staff

**Growth:** Programmatic and financial information is collected to prepare required reports and for internal use

**Maturity:** Reports prepared according to instructions provided by the funding source, information shared with concerned staff and actions taken on shared information

## **FINANCE**

### **Financial Management**

**Launch:** Financial record keeping for donor follows the basic instructions of the funding source

**Growth:** Financial record keeping for donor funds follows the instructions of the funding source

**Maturity:** Financial record keeping provides feedback to the Executive Committee in addition to meeting donor requirements

## Financial Stability

**Launch:** Dependent on one project/funding source for all activity

**Growth:** Managing more than one project with separate funding sources. Funding extends for three years or more. Organization implements a plan for recovering costs.

**Maturity:** Managing more than one project with separate funding sources. Strategic planning ensures that new projects are being developed to ensure continued operations of the organization. Cost sharing or revenue generating activities contribute five percent of the total family planning budget of the past year.

**THE ASIA FOUNDATION  
PROTOCOL FOR MANAGEMENT DEVELOPMENT ASSESSMENT**

**DISCUSSION WITH ORGANIZATION'S MANAGEMENT STAFF**

**COMPONENT: MISSION AND PLANS**

1. Does the organization have a constitution?  
(Ask to see the constitution)  
 Yes                       No
  
2. Does the organization have an annual plan for:  
(Ask to see it)  
 Current year  
 Next year  
 Two years ahead  
 Three years ahead  
 No plan exists
  
3. Does the organization have a Strategic plan?  
(Ask to see it)  
 Yes                       No
  
4. Please describe the goals and objectives of the organization.  
  
Goals:  
  
Objectives:

5. Do the goals and objectives described by the Manager match the goals and objectives stated in the constitution?

Yes       No

In the annual plan?

Yes       No

In the strategic plan?

Yes       No

Comments: \_\_\_\_\_

6. Has the constitution ever been amended to modify objectives of the organization??

Yes       No

Comments: \_\_\_\_\_

7. What projects does your organization currently implement?  
(Ask to see Project Agreements for donor-supported projects but also list community or NGO-supported activities)

Project: \_\_\_\_\_

Project: \_\_\_\_\_

Project: \_\_\_\_\_

Project: \_\_\_\_\_

8. Do these projects support the organization's goals and objectives?

Yes  No

Comments: \_\_\_\_\_

9. Does the organization have a Mission Statement?  
(If yes, ask to see it)

Yes  No

Comments: \_\_\_\_\_

If yes, do you believe the mission statement understood throughout the organization?

Yes  No

Comments: \_\_\_\_\_

10. Who participates in the planning process?

	Executive Committee	General Body	Management Staff	Unit Heads	Staff	Donors
Strategic Plans						
Annual Plans						
Budgets						
Project Proposals						
Other:						

11. Are completed activities reviewed against planned activities?  
(If yes, ask to see the review)

Yes       No

If yes, who is responsible for this review?

Executive Committee     

Management Staff     

Program Staff     

Comments: \_\_\_\_\_

**COMPONENT:**

**SUBCOMPONENT:**

**SUBCOMPONENT:**

**COMMUNITY PARTICIPATION**

**COMMUNITY PARTICIPATION AND CONTRIBUTIONS**

**STRUCTURES FOR COMMUNITY PARTICIPATION**

12. How many policy level committees do you have?  
(Complete the box below)

	CENTRAL	LOCAL
1. Executive Committee (EC)		
2. Project Implementation Committee (PIC)		
3. Advisory committee (AC)		

13. Who are the members of the Executive Committee?  
(state the number of each type over the total number of committee members)

Family members, relatives, friends:

Well known and Influential members of the community:

General members of community:

14. How many of the members are from the local community?

15. See minutes of EC and AG meetings, constitution and membership lists to answer the following questions:

	EC	PIC	AC	GEN. BODY
Number of meetings scheduled per constitution during last 12 months				
Total number of meetings held over last 12 months				
Total members				
Average % attendance during last 12 months				
Number of recommendations made in the last meeting				
Number of recommendations where follow up actions were taken				

16. Do you have any volunteer based activity? If yes, please provide us with following information?

Yes

No

TYPE	#	ACTIVITY

17. Are your target groups paying for any part of the services you provide?

Yes  No

Comments: \_\_\_\_\_

SL.#	TYPE OF SERVICE	%PAYING	RATE

18. If no, do you have any plan to introduce service charges?

Yes  No

Comments: \_\_\_\_\_

**COMPONENT:**  
**SUBCOMPONENT:**

**LEADERSHIP**  
**DECISION MAKING AND DELEGATION**

19. Do subcommittees exist in the organization to assist the leader in the making decisions?

Yes       No

If yes, what are they?

Comments: \_\_\_\_\_

20. Who participates in decision making and planning of the following activities:

	Executive Committee	Project Director	Program Staff	Finance Staff
Staff hiring				
Disciplinary action				
Staff dismissal				
Major purchases				
Expenditure approval				
Fundraising				

21. Are decisions made so that program/project operations are not disrupted while a decision is forthcoming?  
(TAF staff should provide an example to explain this)

Yes       No

If yes, interviewer should follow up

Comments: \_\_\_\_\_

**COMPONENT:                    HUMAN RESOURCE MANAGEMENT**  
**SUBCOMPONENT:            STAFF DEVELOPMENT AND TRAINING**

22. How many staff does the organization have?

Number: \_\_\_\_\_

Comments: \_\_\_\_\_

23. How many of them are trained in their working areas?  
(Compare Q. 1 & 2, calculate % trained)

Number: \_\_\_\_\_

Comments: \_\_\_\_\_

24. Where were they trained?

Training institutions \_\_\_\_\_ (number)

Organization (locally) \_\_\_\_\_ (number)

Comments: \_\_\_\_\_

25. Does the organization have a training plan?  
(If yes, ask to see it)

Yes                     No

Comments: \_\_\_\_\_

26. How is staff selected for training?

- According to the training plan
- As suggested by staff
- Based on performance review
- Based on needs assessment
- Suggested by Donor
- Any other (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

27. Does the organization have a staff development plan other than the training plan?  
(If yes, ask to see it)

- Yes       No

Comments: \_\_\_\_\_

28. How was it developed?

- According to the training plan
- As suggested by TAF
- Based on performance review
- Based on needs assessment
- Any other (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

**SUBCOMPONENT:      STAFF SUPERVISION**

29. Are workplans prepared for the following staff?  
(If yes, ask to see three)

Field Worker	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Clinicians	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Finance Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

30. Do the following staff maintain visit/log book?  
(If yes, ask to see one)

Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

31. How do staff receive feedback?  
(If yes, ask to see them)

	Supervisor	Project Director
Verbally	<input type="checkbox"/>	<input type="checkbox"/>
Written	<input type="checkbox"/>	<input type="checkbox"/>
On the job training	<input type="checkbox"/>	<input type="checkbox"/>
Staff meetings	<input type="checkbox"/>	<input type="checkbox"/>

Comments: \_\_\_\_\_

32. Does the organization have performance review system?  
(If yes, ask to see it)

Yes       No

Who reviews the following staff?

	Executive Committee	Project Director	Supervisors
Project Director			
Accountant			
Supervisors			
Field Workers			
Other:			
Other:			

Comments: \_\_\_\_\_

**SUBCOMPONENT:      PERSONNEL POLICIES (May also be referred to as Service Rules)**

33. Do written personnel policies exist?  
(If yes, ask to see them)

Yes       No

Comments: \_\_\_\_\_

Were the policies adopted from another organization or developed by your NGO?

Adopted from another organization     

Developed by the NGO     

Comments: \_\_\_\_\_

34. Do all staff members have a copy of the Personnel Policy?

Yes       No

Comments: \_\_\_\_\_

35. Are all personnel decisions based on personnel policies?

Yes       No

Comments: \_\_\_\_\_

36. Have the personnel policies ever been updated?

Yes       No

If yes, when: \_\_\_\_\_

37. Who takes decisions regarding leave, disciplinary action, salaries, etc.?

Executive Committee

Management Staff

Comments: \_\_\_\_\_

38. Are these decisions recorded?  
(Ask to see a record)

Yes  No

Comments: \_\_\_\_\_

COMPONENT:

ORGANIZATIONAL STRUCTURE & LINES  
OF COMMUNICATION:

SUBCOMPONENT:

JOB DESCRIPTIONS

39. Does the Project Director have a job description?

Yes       No

40. If yes, look at the job description and ask the project director to describe his/her responsibilities. Record percentage of job responsibilities mentioned as written in the job description

Less than 50%  
 More than 50%

Comments: \_\_\_\_\_

41. Does the job description specify to whom the Project Director is responsible?

Yes       No

To whom is the Project Director responsible? \_\_\_\_\_

42. At whose initiative were these job descriptions prepared?

From within the organization

Instructed by a funding source

Comments: \_\_\_\_\_

43. Is there a system to review and modify these job descriptions periodically?

Yes                       No

Comments: \_\_\_\_\_

44. Do the staff have a copy of their job description?

Field Worker	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Clinicians	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Finance Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Check, Personal Records, #

Comments: \_\_\_\_\_

45. Are job descriptions revised:

- Based on performance review
- To accommodate new tasks
- As suggested by donor(s)
- Routinely

Comments: \_\_\_\_\_

**SUBCOMPONENT:      MANAGEMENT PRACTICES**

46. Does an organigram of the organization exist?  
(Ask to see it)

Yes       No

Comments: \_\_\_\_\_

47. Has the organigram ever been restructured?

Yes       No

Comments: \_\_\_\_\_

48. Why was it restructured?

49. Does the organization have written guidelines for routine management/administrative procedures? For example, procurement of goods and commodities)  
(If yes, ask to see them)

Yes       No

Comments: \_\_\_\_\_

50. Whose decision idea it was to prepare the guidelines?

Project Staff

Donor

Executive Committee

Joint effort

Other:

Comments: \_\_\_\_\_

51. When was the last time the guidelines were up-dated?

52. What is the organizations standard procurement procedure?

Bulk

Need-based

Other:

Comments: \_\_\_\_\_

53. Are quotations obtained for major purchases?

Yes  No

Comments: \_\_\_\_\_

54. Are staff paid by cash or by check?

Check       Cash

Comments: \_\_\_\_\_

55. Have you had any stockouts in the last 2 years?

Yes       No

Comments: \_\_\_\_\_

56. If there was a stockout, how did the organization manage?

**SUBCOMPONENT:**

**REPORTING AND MIS**

57. Do you prepare reports on your own or with assistance from the funding source?

Without assistance

With assistance

Comments: \_\_\_\_\_

58. Does the organization prepare reports on all its activities which are then used for internal monitoring and feedback?  
(Ask to see them)

Yes  No

Comments: \_\_\_\_\_

59. Is follow up action taken on these reports?

COMPONENT:  
SUBCOMPONENT:

FINANCE  
FINANCIAL MANAGEMENT

60. Are the following maintained for the organization?  
(financial records should be quickly reviewed)

Cashbook	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Ledger	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Voucher files	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

61. Has an external audit ever been conducted of the organization?

Yes       No

Date of last audit: \_\_\_\_\_  
(Ask to see a copy of the audit report)

Comments: \_\_\_\_\_

62. Examine the Family Planning audit report. Are there:

More than 10 problems/issues  
 5 - 10 problems/issues  
 Less than 5 problems/issues

Comments: \_\_\_\_\_

63. What financial reports are prepared by the organization?  
(Ask to see them)

those required by a funding source only

those required by a funding source plus some for the organization as a whole

Comments: \_\_\_\_\_

64. Are the fundraising activities taking place?

Yes  No

Comments: \_\_\_\_\_

65. Has the organization developed a plan for fundraising?  
(ask to see a copy of the plan or the meeting minutes which authorized it)

Yes  No

If yes, how was the plan prepared?

From a decision taken in an EC meeting

From a decision taken from an AG meeting

Others (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

66. Does the organization have a plan of how to share costs of project activities?  
(ask to see a copy of the plan or the meeting minutes which authorized it)

Yes       No

Comments: \_\_\_\_\_

67. How was this cost sharing plan developed?

- Requirement of a funding source
- By an initiative taken by the organization
- Others (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

**SUBCOMPONENT:**

**FINANCIAL STABILITY**

68. How many different sources of funds does the organization currently receive?  
(Financial records should be checked to verify information)

One

Two

More than two

Comments: \_\_\_\_\_

69. Is the organization actively seeking alternative donor support?

Yes

No

If yes, ask to see documentation

Comments: \_\_\_\_\_

70. Does the organization receive donations?  
(Financial records should be checked to verify information)

Yes

No

Comments: \_\_\_\_\_

If yes, from whom? \_\_\_\_\_

71. Over the past 3 years, is community support in cash or in-kind increasing or decreasing as a proportion of total funds received?  
 (Financial records should be checked to verify information)

- Increasing  
 Decreasing

Comments: \_\_\_\_\_

72. What is the current annual budget of the organization?

Source	Project	Amount

73. Does the organization have a general fund created from your own income?

- Yes       No

Comments: \_\_\_\_\_

If yes, please provide us with the following information? (check subscription lists, contribution report, financial Report)

SL.#	SOURCES	DURATION	TOTAL AMOUNT
TOTAL			

74. What other assets does the organization own?

**THE ASIA FOUNDATION  
PROTOCOL FOR MANAGEMENT DEVELOPMENT ASSESSMENT**

**DISCUSSION WITH ORGANIZATION'S FIELD STAFF**

**COMPONENT: MISSION AND PLANS**

75. Who participates in the planning process?

	Executive Committee	Management Staff	Unit heads	Staff	Donors
Strategic Plans					
Annual Plans					
Budgets					
Project Proposals					
Other:					

**COMPONENT:**  
**SUBCOMPONENT:**

**LEADERSHIP**  
**DECISION MAKING AND DELEGATION**

76. Who participates in decision making and planning of the following activities:

	Executive Committee	Project Director	Program Staff	Finance Staff
Staff hiring				
Disciplinary action				
Staff dismissal				
Major purchases				
Expenditure approval				
Fundraising				

77. Are decisions made so that program/project operations are not disrupted while a decision is forthcoming?

Yes       No

If yes, interviewer should follow up

Comments: \_\_\_\_\_

COMPONENT:  
SUBCOMPONENT:

HUMAN RESOURCE MANAGEMENT  
STAFF DEVELOPMENT AND TRAINING

78. How do you think staff are selected for training?

- According to the training plan
- As suggested by staff
- Based on performance review
- Based on needs assessment
- Suggested by Donor
- Any other (Specify)\_\_\_\_\_

Comments: \_\_\_\_\_

79. Is in-service and on the job training available to staff?

- Yes       No

Comments: \_\_\_\_\_

**SUBCOMPONENT:            STAFF SUPERVISION**

80. Are workplans prepared for the following staff?  
(If yes, ask to see three)

Field Worker	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Clinicians	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Finance Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

81 Do the following staff maintain visit/log book?  
(If yes, ask to see one)

Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

82. How do staff receive feedback?  
(If yes, ask to see them)

	Supervisor	Project Director
Verbally	<input type="checkbox"/>	<input type="checkbox"/>
Written	<input type="checkbox"/>	<input type="checkbox"/>
On the job training	<input type="checkbox"/>	<input type="checkbox"/>
Staff meetings	<input type="checkbox"/>	<input type="checkbox"/>

Comments: \_\_\_\_\_

**SUBCOMPONENT: PERSONNEL POLICIES**

83. Do written personnel policies exist?  
(If yes, ask to see them)

Yes       No

Comments \_\_\_\_\_

Were the policies adopted from another organization or developed by your NGO?

Adopted from another organization     

Developed by the NGO     

Comments: \_\_\_\_\_

84. Do all staff members have a copy of the Personnel Policy?

Yes       No

Comments: \_\_\_\_\_

85. Are all personnel decisions based on personnel policies?

Yes       No

Comments: \_\_\_\_\_

86. Who takes decisions regarding leave, disciplinary action, salaries, etc.?

Executive Committee     

Management Staff     

Comments: \_\_\_\_\_

87. Does the organization have performance review system?  
(If yes, ask to see it)

Yes       No

Who reviews the following staff?

	Executive Committee	Project Director	Supervisors
Supervisors			
Field Workers			
Other:			
Other:			

Comments: \_\_\_\_\_

COMPONENT:                    ORGANIZATIONAL STRUCTURE & LINES  
SUBCOMPONENT:            OF COMMUNICATION  
JOB DESCRIPTIONS

88. Do the staff have a copy of their job description?

Field Worker	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

89. Ask staff of each category to state and explain their job descriptions and who their immediate supervisors are?

Field Worker No. 1

Able to explain their job	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Able to identify supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Field Worker No. 2

Able to explain their job	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Able to identify supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Supervisor No. 1

Able to explain their job	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Able to identify supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Supervisor No. 2

Able to explain their job	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Able to identify supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

90. Are job descriptions ever discussed with staff by their supervisors?

Yes       No

Comments: \_\_\_\_\_

91. Do the staff have a copy of their job description?

Field Worker	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Clinicians	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Finance Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_



**THE ASIA FOUNDATION  
PROTOCOL FOR MANAGEMENT DEVELOPMENT ASSESSMENT**

**DISCUSSION WITH EXECUTIVE COMMITTEE MEMBERS**

**COMPONENT: MISSION AND PLANS**

94. Does the organization have a constitution?

Yes       No

95. Does the organization have an annual plan for:

- Current year
- Next year
- Two years ahead
- Three years ahead
- No plan exists

96. Does the organization have a Strategic plan?

Yes       No

97. Please describe the goals and objectives of the organization.

Goals:

Objectives:

98. Do the goals and objectives described by the Executive Committee members match the goals and objectives stated in the constitution?

Yes       No

In the annual plan'

Yes       No

In the strategic plan?

Yes       No

Comments: \_\_\_\_\_

99. Does the annual plan update the goals and objectives as stated in the constitution?

Yes       No

100. What projects does your organization currently implement?

Project: \_\_\_\_\_

Project: \_\_\_\_\_

Project: \_\_\_\_\_

Project: \_\_\_\_\_

101. Do these projects support the organization's goals and objectives?

Yes  No

Comments: \_\_\_\_\_

102. Does the organization have a Mission Statement?  
(If yes, ask to see it)

Yes  No

Comments: \_\_\_\_\_

If yes, do you believe the mission statement understood throughout the organization?

Yes  No

Comments: \_\_\_\_\_

103. Who participates in the planning process?

	Executive Committee	General Body	Management Staff	Unit Heads	Staff	Donors
Strategic Plans						
Annual Plans						
Budgets						
Project Proposals						
Other:						

**COMPONENT:**  
**SUBCOMPONENT:**  
**SUBCOMPONENT:**

**COMMUNITY PARTICIPATION**  
**COMMUNITY PARTICIPATION AND CONTRIBUTIONS**  
**STRUCTURES OF COMMUNITY PARTICIPATION**

104. How many policy level committees do you have?  
(Complete the box below)

	CENTRAL	LOCAL
1. Executive Committee (EC)		
2. Project Implementation Committee (PIC)		
3. Advisory committee (AC)		

105. Who are the members of the Executive Committee?  
(state the number of each over the total committee members)

Family members, relatives, friends:

Influential members of the community:

General members of community:

106. How many of the members are from the local community?

107. See minutes of EC and AG meetings, constitution and membership lists to answer the following questions:

	EC	PIC	AC	GEN. BODY
Number of meetings scheduled per constitution during last 12 months				
Total number of meetings held over last 12 months				
Total members				
Average percent attendance during the last 12 months				
Number of recommendations made in the last meeting				
Number of recommendations where follow up actions were taken				

108. Do you have any volunteer based activity? If yes, please provide us with following information?

Yes       No

TYPE	#	ACTIVITY

109. Are your target groups paying for any part of the services you provide?

SL.#	TYPE OF SERVICE	%PAYING	RATE

110. If no, do you have any plan to introduce service charges?

Yes       No

Comments: \_\_\_\_\_

111. Are completed activities reviewed against planned activities?

Yes       No

If yes, who is responsible for this review?

Executive Committee     

Management Staff     

Program Staff     

Comments: \_\_\_\_\_

**COMPONENT:**

**LEADERSHIP**

**SUBCOMPONENT:**

**DECISION MAKING AND DELEGATION**

112. Do subcommittees exist in the organization to assist the leader in the making decisions?

Yes       No

If yes, what are they?

Comments: \_\_\_\_\_

113. Who participates in decision making and planning of the following activities:

	Executive Committee	Project Director	Program Staff	Finance Staff
Staff hiring				
Disciplinary action				
Staff dismissal				
Major purchases				
Expenditure approval				
Fundraising				

114. Are decisions made so that program/project operations are not disrupted while a decision is forthcoming?

Yes       No

If yes, interviewer should follow up

Comments: \_\_\_\_\_

**COMPONENT:**  
**SUBCOMPONENT:**

**HUMAN RESOURCE MANAGEMENT**  
**STAFF DEVELOPMENT AND TRAINING**

115. Does the organization have a training plan?

Yes       No

Comments: \_\_\_\_\_

116. How is staff selected for training?

- According to the training plan
- As suggested by staff
- Based on performance review
- Based on needs assessment
- Suggested by Donor
- Any other (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

117. Does the organization have a staff development plan other than the training plan?

Yes       No

Comments: \_\_\_\_\_

118. How was it developed?

- According to the training plan
- As suggested by TAF
- Based on performance review
- Based on needs assessment
- Any other (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

**SUBCOMPONENT:**

**STAFF SUPERVISION**

119. Are workplans prepared for the following staff?

- |                 |                          |     |                          |    |
|-----------------|--------------------------|-----|--------------------------|----|
| Field Worker    | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| Supervisor      | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| Clinicians      | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| Finance Staff   | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| Project Manager | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

Comments: \_\_\_\_\_

120. Do the following staff maintain visit/log book?  
(If yes, ask to see one)

- |                 |                          |     |                          |    |
|-----------------|--------------------------|-----|--------------------------|----|
| Supervisor      | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| Project Manager | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

Comments: \_\_\_\_\_

121. Does the organization have performance review system?  
(If yes, ask to see it)

Yes       No

Who reviews the following staff?

	Executive Committee	Project Director	Supervisors
Project Director			
Accountant			
Supervisors			
Field Workers			
Other:			
Other:			

Comments: \_\_\_\_\_

**SUBCOMPONENT: PERSONNEL POLICIES**

122. Do written personnel policies exist?

Yes       No

Comments: \_\_\_\_\_

Were the policies adopted from another organization or developed by your NGO?

Adopted from another organization     

Developed by the NGO     

Comments: \_\_\_\_\_

123. Are all personnel decisions based on personnel policies?

Yes       No

Comments: \_\_\_\_\_

124. Have the personnel policies ever been updated?

Yes       No

If yes, when:

125. Who takes decisions regarding leave, disciplinary action, salaries, etc.?

Executive Committee

Management Staff

Comments: \_\_\_\_\_

126. Are these decisions recorded?

Yes  No

Comments: \_\_\_\_\_

COMPONENT:

ORGANIZATIONAL STRUCTURE & LINES  
OF COMMUNICATION

SUBCOMPONENT:

JOB DESCRIPTIONS

127. Does the Project Director have a job description?

Yes       No

128. Does the job description specify to whom the Project Director is responsible?

Yes       No

To whom is the Project Director responsible?

129. Do the following staff have job descriptions?

Field Worker	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Clinicians	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Finance Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

130. At whose initiative were these job descriptions prepared?

From within the organization     

Instructed by a funding source     

Comments: \_\_\_\_\_

131. Is there a system to review and modify these job descriptions periodically?

Yes       No

Comments: \_\_\_\_\_

132. Do the staff have a copy of their job description?

Field Worker	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisor	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Clinicians	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Finance Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Project Manager	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

**SUBCOMPONENT: MANAGEMENT PRACTICES**

133. Does an organigram of the organization exist?

Yes  No

Comments: \_\_\_\_\_

134. Has the organigram ever been restructured?

Yes  No

Comments: \_\_\_\_\_

135. Why was it restructured?

136. Does the organization have written guidelines for routine management/administrative procedures? (e.g. procurement)

Yes  No

Comments: \_\_\_\_\_

137. Whose decision idea it was to prepare the guidelines?

Project Staff

Donor

Executive Committee

Joint effort

Other:

Comments: \_\_\_\_\_

138. When was the last time the guidelines were up-dated?

139. What is the organizations standard procurement procedure?

Bulk

Need-based

Other:

Comments: \_\_\_\_\_

140. Are quotations obtained for major purchases?

Yes  No

Comments: \_\_\_\_\_

**SUBCOMPONENT:            REPORTING AND MIS**

141. Do you prepare reports on your own or with assistance from the funding source?

Without assistance           

With assistance               

Comments: \_\_\_\_\_

142. Does the organization prepare reports on all its activities which are then used for internal monitoring and feedback?  
(Ask to see them)

Yes                             No

Comments: . \_\_\_\_\_

143. Is follow up action taken on these reports?

**COMPONENT:**

**FINANCE**

**SUBCOMPONENT:**

**FINANCIAL MANAGEMENT**

144. Are the following maintained for the organization?  
(financial records should be quickly reviewed)

Cashbook	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Ledger	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Voucher files	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

Comments: \_\_\_\_\_

145. Has an external audit ever been conducted of the organization?

Yes       No

Date of last audit:  
(Ask to see a copy of the audit report)

Comments: \_\_\_\_\_

146. Examine the Family Planning audit report. Are there:

More than 10 problems/issues  
 5 - 10 problems/issues  
 Less than 5 problems/issues

Comments: \_\_\_\_\_

147. What financial reports are prepared by the organization?  
(Ask to see them)

- those required by a funding source only
- those required by a funding source plus some for the organization as a whole

Comments: \_\_\_\_\_

148. Are the fundraising activities taking place?

- Yes       No

Comments: \_\_\_\_\_

149. Has the organization developed a plan for fundraising?  
(ask to see a copy of the plan or the meeting minutes which authorized it)

- Yes       No

If yes, how was the plan prepared?

- From a decision taken in an EC meeting
- From a decision taken from an AG meeting
- Others (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

150. Does the organization have a plan of how to share costs of project activities?  
(ask to see a copy of the plan or the meeting minutes which authorized it)

Yes       No

Comments: \_\_\_\_\_

151. How was this cost sharing plan developed?

- Requirement of a funding source
- By an initiative taken by the organization
- Others (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_

**SUBCOMPONENT:      FINANCIAL STABILITY**

152. How many different sources of funds does the organization currently receive?  
(Financial records should be checked to verify information)

- One  
 Two  
 More than two

Comments: \_\_\_\_\_

153. Is the organization actively seeking alternative donor support?

- Yes       No

If yes, ask to see documentation

Comments: \_\_\_\_\_

154. Does the organization receive donations?  
(Financial records should be checked to verify information)

- Yes       No

Comments: \_\_\_\_\_

If yes, from whom?

155. Over the past 3 years, is community support in cash or in-kind increasing or decreasing as a proportion of total funds received?  
 (Financial records should be checked to verify information)

- Increasing  
 Decreasing

Comments: \_\_\_\_\_

156. What is the current annual budget of the organization?

Source	Project	Amount

157. Does the organization have a general fund created from your own income?

- Yes       No

Comments: \_\_\_\_\_

If yes, please provide us with the following information? (check subscription lists, contribution report, financial Report)

SL.#	SOURCES	DURATION	TOTAL AMOUNT
TOTAL			

158. What other assets does the organization own?

**THE ASIA FOUNDATION  
GUIDELINES FOR CONDUCTING  
MANAGEMENT DEVELOPMENT ASSESSMENTS**

These guidelines are intended to provide instructions to TAF Program Staff for conducting Management Development Assessments. In order to maintain the integrity of the Assessment tool, it is imperative that these guidelines are consistently followed by all staff.

**PRE-ASSESSMENT**

1. Select NGO site.
2. Select a minimum of two TAF Program Staff to conduct the Assessment. One will be the Program Officer assigned to the NGO, the other person will be nominated by the Deputy Program Manager.
3. No later than two weeks before the scheduled assessment date, TAF Program staff should contact the NGO Project Director to inform him/her of the intent to make a visit. The following points should be conveyed:
  - A. The purpose
  - B. The scope and duration of the visit
  - C. The people to be interviewed in the following sequence, with approximate time period of the interview:
    - i. Project Director and NGO accountant (3 hours)
    - ii. One Supervisor and two field workers (1 hours)
    - iii. Two members of Executive Committee (2 hours)
4. TAF Program Staff should review project files prior to the assessment to familiarize themselves with the organization.

**IMPLEMENTATION**

1. The day before the assessment, two copies of the Management Development Assessment Questionnaire are to be photocopied and reviewed by the Program Staff to be certain the questions are clear.
2. On arrival at the NGO, one Program Officer should be designated as the interviewer and the other will be responsible for completing the questionnaire.
3. At the outset of all interviews, the purpose of the Assessment must be stated to the people being interviewed.

4. All questions must be completed, regardless if the response is "not applicable" or "information not available". Additional comments are encouraged, and should be noted on the space provided in the questionnaire.
5. The assessment tool has been designed to take up to one full work day to complete. If additional time is required beyond one day, it must be completed on the next working day.
6. All documentation requested for review must be readily available from the NGO. If it is not, the verbal response will be marked "Not Verified."

### ANALYSIS

1. Analysis must be completed within two working days after completing the assessment.
2. The results of the assessment will be completed by the Program staff responsible for conducting the assessment and will be independently verified by the PPM or DPM. Items marked "Not Verified" will be allocated to the "Launch" stage.
3. A debriefing session will be held with the PPM, and recommendations for prioritization of technical assistance to the NGO will be documented by the Program Officer assigned to the NGO.

### DISSEMINATION

1. A "Profile" of the organization's capabilities will be completed specifying where the organization is located on the "milestone" scale.
2. A brief written summary of the results of the assessment will be attached to the profile. This will explain the profile, and support the findings. The summary will also explain how the information will be used in the forthcoming strategic planning process.
3. A copy of the profile and summary will be provided to the Project Director and Executive Committee of the NGO.

**THE ASIA FOUNDATION  
MANAGEMENT DEVELOPMENT ASSESSMENT PROFILE**

**NGO:**

**DATE ASSESSED:**

	LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
MISSION AND PLANS			
COMMUNITY PARTICIPATION Structures for Community Participation  Community Participation and Contributions			
LEADERSHIP Decision Making and Delegation			
HUMAN RESOURCE MANAGEMENT Staff Training and Development  Staff Supervision  Personnel Policies			
ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION Job descriptions  Management Practices  Reporting and MIS			
FINANCE Financial Management  Financial Stability			

**THE ASIA FOUNDATION**  
**WORKPLAN FOR MANAGEMENT DEVELOPMENT ASSESSMENTS**

**JULY - SEPTEMBER 1993**

**Orient Program Staff**

1. Orient all Pop Program Staff to the TAF Management Development Assessment process prior to conducting any assessments. The orientation will include a detailed review of the TAF indicators, the questionnaire, the MSH guidelines for field testing the questionnaire, and the draft TAF guidelines for conducting assessments. Orientation will be conducted before the end of July 1993 by the Senior Program Officer (QA).

**Conduct Assessments**

1. Identify six NGOs for assessment. To maximize the value of the field test phase, the selection will be representative of the variety of organizations within the TAF portfolio, both urban and rural, national and local.
2. During the field test period, all TAF Program staff will participate in two assessments.
3. Prepare and conduct assessment field tests following the TAF and MSH guidelines. During this phase, Program staff will document proposed modifications to the TAF guidelines.

**Refine Indicators, Assessment Tool and Guidelines**

1. Refine the management development assessment tool as necessary by reviewing the appropriateness of questions to measure the selected indicators. A debriefing will be held after each assessment with the Program staff and PPM to discuss the tool and protocol. All changes made will be documented.

**Analyze Data Collected**

1. Convene one meeting per month (July, August, September) of all Program staff to discuss the field tests conducted since the last meeting, and review the results and prioritize technical assistance to be provided to the NGO.
2. Develop a standardized format in draft to document and analyze the findings of the assessment.

**ANNEX VI:**

**PATHFINDER INTERNATIONAL**

**MILESTONE ANALYSIS CHART, MANAGEMENT DEVELOPMENT ASSESSMENT  
TOOL, GUIDELINES, INTERVIEW TECHNIQUES AND INTRODUCTION,  
WORKPLAN AND PROCEDURES, FIELD TEST RESULTS**

## **MILESTONE ANALYSIS CHART**

## ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION

**ENDPOINT 1: MANAGEMENT SYSTEM IN PRACTICE, DECISION MAKING A SHARED PROCESS, AND FLEXIBILITY TO RESPOND TO CHANGING ENVIRONMENT**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
Meetings with Executive Committee, PAC, Project Director, and other Agencies Infrequent	PAC, EC, more established, meetings documented and frequent	Decision making shared, PAC actively involved with planning and decision making process
<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. No PAC active role with EC or PD</li> <li>b. PAC not knowledgeable about organization's goals and activities</li> <li>c. PAC not active in support, PD making all decisions</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. PAC more active</li> <li>b. PAC and PD and EC are beginning to work together in a joint manner</li> <li>c. Begins to adapt to new ideas</li> <li>d. Meet with other agencies to learn about environment</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. PAC knowledgeable about project objectives and goals and actively works with EC and PM</li> <li>b. Collaborate with other related agencies</li> <li>c. Regular meetings with other agencies, and awareness of environment</li> </ul>
<p>Sources:</p> <p>Interviews with PAC, PM, and staff</p> <p>Minutes of PAC meetings</p> <p>Minutes of meetings with collaborative agencies or correspondence regarding related activities/projects</p>		

## HUMAN RESOURCES

### ENDPOINT 2a: EFFECTIVE PERSONNEL POLICY AND SUPERVISORY SYSTEM IN PLACE

#### EFFECTIVE UTILIZATION OF RESOURCES

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
Individual work plans and performance objectives not in place	Individual work plans are functioning and in accountable manner, but goals partially accomplished	Individual workplans functioning, and majority of goals are accomplished
<p>Specific Indicators:</p> <p>a. Performance plans and job descriptions for individuals exist in partial form</p> <p>b. Personnel polity in place but not followed</p>	<p>Specific Indicators:</p> <p>a. All individuals have job descriptions and tangible work plans</p> <p>b. Average of 50% of defined workplans are accomplished</p>	<p>Specific Indicators:</p> <p>a. Individuals understand their job descriptions, have accountable workplans, and are accomplishing an average of 80%+ of goals</p>
<p>Sources:</p> <p>a. Job descriptions</p> <p>b. Performance reviews/workplans</p> <p>c. Semi-annual evaluations</p> <p>d. Annual evaluations</p>		

**ENDPOINT 2B: SKILLED AND TRAINED STAFF**

**STAFF TRAINING AND DEVELOPMENT**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p>Majority of staff not highly skilled or have not received any specialized training to conduct their job. Staff development plan does not exist</p>	<p>Most of staff is trained, primarily through as hoc training plans from external support. Long-term staff development plans may exist in some stage</p>	<p>All staff receive training as required to perform their job. Long-term staff development plans are operational and reflect current and anticipated program plans</p>
<p>Specific Indicators:</p> <ol style="list-style-type: none"> <li>1. 25% or less of staff is trained</li> <li>2. Minimal on the job training provided</li> <li>3. No formal training. The initiative, experience and expertise of founding member utilized</li> <li>4. Staff development plan does not exist</li> </ol>	<p>Specific Indicators:</p> <ol style="list-style-type: none"> <li>1. Less than 100% of staff is trained</li> <li>2. Ad hoc basic and refresher training takes place</li> <li>3. Board members and executive staff have training provided according to the needs of the program</li> <li>4. Staff development plans depend on external resources and support</li> <li>5. Needs assessment takes place in order to develop a staff development plan</li> <li>6. Employee performance plans specifies future training</li> </ol>	<p>Specific Indicators:</p> <ol style="list-style-type: none"> <li>1. 100% of staff is trained</li> <li>2. Well developed staff development plan is in place</li> <li>3. All staff receive training to fulfil job requirements</li> <li>4. Period training needs assessment performed</li> </ol>
<p>Source:</p> <ol style="list-style-type: none"> <li>1. Training Plan</li> <li>2. Staff development plan</li> <li>3. Activity reports and annual report</li> <li>4. Personnel Records</li> </ol>		

## MISSION AND PLAN

### ENDPOINT 3: STRATEGIC AND ANNUAL PLAN OPERATING SUCCESSFULLY

Annual Plan in Place, but at beginning stages	Strategic Plan or Annual Plan for More than One Year in Place	Strategic and Annual Plan Operating Successfully
<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. Plan understood done by one or two members</li> <li>b. Absence of target groups</li> <li>c. Objectives unclear, and unrealistic, less than 50% of objectives being met</li> <li>d. No monitoring in place</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. Executive Committee involved</li> <li>b. Target groups that is needs based identified</li> <li>c. Plan for 3-5 years exists</li> <li>e. Monitoring plan in place, but less than 1-2 per year and sporadic</li> <li>f. base line data exists</li> <li>g. Well-defined work plan exists, and accomplished at 50%+</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. EC and PAC and CA involved in annual plan</li> <li>b. Measurable objectives and being met at 80% level</li> <li>c. Quarterly monitoring plan in place</li> </ul>
<p>Sources:</p> <ul style="list-style-type: none"> <li>a. Annual Plan</li> <li>b. Strategic Plan</li> <li>c. Monitoring Reports</li> <li>d. Minutes of any planning meetings (eg. annual review meeting)</li> <li>e. Annual budget and expenditures</li> <li>f. Base line data</li> </ul>		

## LEADERSHIP

### ENDPOINT 4: ABILITY TO PLAN AND WORK INDEPENDENTLY WHILE RESPONDING TO DONORS AND BOARD

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
Annual workplan provided by CA, implemented partially	Annual Workplan created more at NGO level; increased reliability	Annual Workplan created at NGO level and implemented in an effective manner
<p>Specific Indicators:</p> <p>a. CA primarily responsible for writing annual plan</p> <p>b. Only CA and Project manager involved in plan</p>	<p>Specific Indicators:</p> <p>a. CA and NGO work jointly to create annual workplan</p> <p>b. PM involves PAC in planning process</p> <p>c. PM write more of the job descriptions, supervisory plans, and training plans</p>	<p>Specific Indicators:</p> <p>a. Annual work plan, training plan, and supervisory plans created by PM and PAC</p> <p>b. Workplan understood and allocated to staff in a decentralized manner</p>
<p>Sources:</p> <p>a. Annual Workplan</p> <p>b. Training Plan</p> <p>c. Supervisory Plan</p> <p>d. Interviews</p>		

**ENDPOINT 4B: ABLE TO RESPOND TO NEW IDEAS AND RECOMMENDATIONS**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
New ideas and recommendations from donors and PAC adopted partially and without significant improvements	Ideas and recommendations challenged, improved, and more readily adopted	Responds well to new ideas and recommendations and looks for new ways to improve them
<p>Specific Indicators:</p> <p>a. No changes made in CA recommendations and requests</p> <p>b. Not all donor requests implemented successfully</p>	<p>Specific Indicators:</p> <p>a. PM demonstrates ability to make changes and improvements with current practices and policies</p> <p>b. More readily implements new ideas and recommendations</p>	<p>Specific Indicators:</p> <p>a. PM can demonstrate numerous improvements to systems</p> <p>b. New ideas adopted and improved upon in an efficient manner</p>
<p>Sources:</p> <p>a. Interviews with PM, CA</p> <p>b. Project Review</p> <p>c. Program Officer Trip Reports</p>		

## FINANCE

### ENDPOINT 5: ACCOUNTING SYSTEM MANAGED PROPERLY

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
Accounting system at beginning stage	Accounting System reliable	Accounting system reliable and able to respond to changes
<p>Specific Indicators:</p> <p>a. Audit report does not exist or identifies many problems</p> <p>b. Procurement system used as an indicator and is done in large part by CA</p>	<p>Specific Indicators:</p> <p>a. Audit report: problems identified and only partially resolved</p> <p>b. Project Acquisitions equally done by CA and Project</p>	<p>Specific Indicators:</p> <p>a. Audit report identifies no major problems, and recommendations quickly implemented by accounting</p> <p>b. Majority of Procurement done by NGO</p> <p>c. Unit cost accounting system in place</p>
<p>Sources:</p> <p>a. Audit Reports</p> <p>b. Audit changes made</p> <p>c. Procurement Reports</p> <p>d. Annual budgets</p>		

**ENDPOINT 5B: FINANCIAL STABILITY AND ABILITY TO GENERATE RESOURCES**

LAUNCH PHASE	GROWTH PHASE	MATURE PHASE
Financially Vulnerable	Moderate Financial Stability	Significant Financial Stability
<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. Meager resources</li> <li>b. Only one or two sources of income, and are purely from donors</li> <li>c. No charges for services</li> <li>d. No unit cost accounting</li> <li>e. No written plan for sustainability</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. Operating Budget Less Meager</li> <li>b. More than one source of income</li> <li>c. More than 15% of income from non-donor sources, and costs equal to income</li> <li>e. Applying Service charges</li> <li>f. Unit costs identified but not improving as applied</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. More than 25% of income from non-donor sources such as sale of goods and services or - internal resources matched by external resources</li> <li>b. At least 90% of income utilized</li> <li>c. Able to maintain cash reserve</li> <li>d. Service charge policy exists and is applied</li> <li>e. Unit costs identified, used and improving and/or acceptable</li> </ul>
<p>Sources:</p> <ul style="list-style-type: none"> <li>a. ELCO Cards</li> <li>b. Patient Register</li> <li>c. Financial Stability Plan</li> <li>d. Budget</li> <li>e. Income/Loss Statement</li> <li>f. Financial Statement</li> </ul>		

## COMMUNITY PARTICIPATION

### ENDPOINT 6: COMMUNITY ACTIVELY SUPPORTS NGO

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
Community uses services, meets infrequently, and small contributions in-kind	Community generates limited funds, donates land, office space, and begins to pay for services	Community generates support with donations and fee for services and regularly attended meetings
<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. In-kind services by some members</li> <li>b. Community uses services</li> <li>c. 10%+ of target groups pay for services and plan for service charges exists</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. Received donations of land, office space, or equipment</li> <li>b. Generated funds from member subscriptions</li> <li>c. 10% to 40% of target group paying for services</li> </ul>	<p>Specific Indicators:</p> <ul style="list-style-type: none"> <li>a. Generating support from donations and collaboration of other agencies</li> <li>b. Collection of money from fee for services - 40% to 70% of target groups paying for services</li> </ul>
<p>Sources:</p> <ul style="list-style-type: none"> <li>a. Service statistics for condom distribution and sales as well as client's collecting contraceptives from worker's houses</li> <li>b. Subscription lists</li> <li>c. Contribution reports</li> <li>d. Financial records</li> <li>e. PAC meeting minutes</li> </ul>		

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**MANAGEMENT DEVELOPMENT  
ASSESSMENT TOOL**

## MANAGEMENT NEEDS ASSESSMENT

Name of the Project: \_\_\_\_\_

Name of the Interviewer: \_\_\_\_\_

Date: \_\_\_\_\_

**To PAC Chairperson**

[Name:

### ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION

End point: Management system in practice, Decision making a shared process, and Flexibility to respond to changing environment

1. How frequently do you personally meet with Pathfinder representative from Dhaka?
2. How frequently do you meet with the Project Manager to discuss project activities?
3. How frequently do you have PAC (or appropriate committee) meetings?

Do you keep minutes of those meetings? Yes \_\_\_\_\_ No \_\_\_\_\_

Did you discuss development of the current Project Proposal in the meetings?

Yes \_\_\_\_\_ No \_\_\_\_\_

4. Was the final project proposal discussed in the PAC meetings?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, was the project proposal approved by the PAC? Yes \_\_\_\_\_ No \_\_\_\_\_

5. What are the two or three most important objectives of this project?

Objective 1:

Objective 2:

Objective 3:

6. What are the key management problems of the project?

Problem 1:

Problem 2:

Problem 3:

7. How can Pathfinder provide technical assistance in managing these problems?

8. Is there any type of technical assistance in management you would like Pathfinder to provide to the PAC members?

**To Project Director**

[Name: \_\_\_\_\_ ]

**ORGANIZATIONAL STRUCTURE  
AND LINES OF COMMUNICATION**

1. How frequently do you meet with the Chairperson of the PAC (or appropriate committee)?

2. Was the PAC involved in the development of Project Proposal?

Yes \_\_\_\_\_ No \_\_\_\_\_

Are there minutes of these meetings? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, can we see them? *Interviewer please take note on the following from the minutes of last one year:*

*Total number of PAC Members:* \_\_\_\_\_

*Number of Meetings:* \_\_\_\_\_

*Average Number Attended:* \_\_\_\_\_

3. Is the support you receive from the PAC adequate? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, what are areas you need more support?

**End point: Collaboration with other agencies**

4. What are the government and non-governmental organizations you collaborate with?

Organization: \_\_\_\_\_; Activity \_\_\_\_\_

Organization: \_\_\_\_\_; Activity \_\_\_\_\_

Organization: \_\_\_\_\_; Activity \_\_\_\_\_

5. What problems are you encountering working with other organizations?

Organization \_\_\_\_\_; Problem \_\_\_\_\_

Organization \_\_\_\_\_; Problem \_\_\_\_\_

Organization \_\_\_\_\_; Problem \_\_\_\_\_

## HUMAN RESOURCES

**End point: Effective Utilization of Resources**

6. Do all employees know what is their job description? Yes \_\_\_\_\_ No \_\_\_\_\_
7. Do you annually review performance of the staff you directly supervise?  
Yes \_\_\_\_\_ Some \_\_\_\_\_ No \_\_\_\_\_
8. Who annually reviews the performance of the Fieldworkers?  
Supervisor \_\_\_\_\_ Project Manager \_\_\_\_\_
9. Did you relate their performance with annual salary increase? Yes \_\_\_\_\_ No \_\_\_\_\_
10. Do you document the performance review? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, we would like to randomly choose the performance reviews of two people and see them. *(Interviewer takes list of names of all employees, and choose two written evaluations randomly from the personnel file)*

*Interviewer, please note if written evaluation includes the following:*

<i>Evaluation Items</i>	<i>Yes</i>	<i>No</i>
<i>Level of performance evaluated</i>		
<i>Conducted within last 12 months</i>		
<i>Salary recommendation included in report</i>		

**End point: Effective supervisory system**

11. Please show us this month's workplan for a supervisor, a field worker, a project manager.  
*Interviewer please see:*

<i>Workplan includes</i>	<i>Yes</i>	<i>No</i>
<i>Whether the workplan is current</i>		
<i>Contains ELCO Serial Number</i>		
<i>Area Identification exists</i>		
<i>Fieldworker's name (in case of Supervisor)</i>		

**End point: Trained and skilled staff**

12. Please show us the training plan.

Exists \_\_\_\_\_ Does not exist \_\_\_\_\_

Any comments:

13. How many of the staff have been recruited during last one year, and how many of them have received basic training?

14. Number of staff recruited during the last 12 months: \_\_\_\_\_

Number received basic training: \_\_\_\_\_

## MISSION AND PLAN

**End point: Strategic and Annual Plan Operating Successfully**

15. As you know QES objectives of the project; can you please give us couple of examples for each QES category ?

A target for Quality:

A target for Expansion:

A target for Sustainability:

16. Using one of the targets above, answer the following:

Can you please explain how did you arrive at the project's annual target?

*Interviewer, potential examples are: looked at last year's trend, considered capability of staff, local request, and other appropriate mechanism.*

Arrived at the target in an acceptable manner? Yes \_\_\_\_\_ No \_\_\_\_\_

Can you please give us the target you have assigned to a:

	Number	Annual Target
Site		
Supervisor		
Worker/Volunteer		

17. What is the percentage of annual targets achieved by the end of last quarter (At least one indicator from each group)?

Q (Quality) = Percentage of Clinical Performance

Target	Achieved
--------	----------

E (Expansion) = Contraceptive Prevalence Rate

Target	Achieved
--------	----------

S (Sustainability) = Amount of Money to be Generated

Target	Achieved
--------	----------

18. Do you have a plan for 2 or more years? Yes \_\_\_\_\_ No \_\_\_\_\_

19. Do you have a strategic plan? Yes \_\_\_\_\_ No \_\_\_\_\_

## LEADERSHIP

**Endpoint: Create and respond to new ideas and recommendations while challenging them to make improvements**

20. Can you give us 2 or 3 examples of new ideas (improvements or changes) you have added or changed in the current project proposal?

Who generated the new idea(s)? (Check one or more for each)

New Idea	By PM	Staff	PAC	PF

21. When did you introduce SMC and market brand contraceptives into your project, and how is it working?

22. When did Pathfinder Program Officer visited your project? Date: \_\_\_\_\_

Please show us the task list he gave you? *[Interviewer please check implementation status]*

Implementation status satisfactory \_\_\_\_\_ Partially \_\_\_\_\_ Not satisfactory \_\_\_\_\_

**Endpoint: Ability to plan and work independently Efficiently**

23. Who was primarily responsible for making the following: (check at least one for each activity)

	PF	PD	PD/Staff	PD/Staff/PAC
Project Document				
Supervisory visit plan				
Training plan				
Allocating targets/objectives to staff				

## COMMUNITY PARTICIPATION

**End point: Community actively supports the NGO**

24. How many clients received condoms in December 1992? How many of these clients paid for the contraceptives? And what was the total amount received for the condoms?

# of clients who received condoms \_\_\_\_\_

# of clients who paid \_\_\_\_\_

# total amount received for condom sales \_\_\_\_\_

25. Percentage of clients receiving contraceptives who collected them from worker's house as of last month? (PM/PD)

## FINANCE

**End point: Financial sustainability**

26. What activities are you undertaking to make the Organization financial sustainable?

27. Do you have a written plan for spending the money generated from non-project activities?

Yes \_\_\_\_\_ No \_\_\_\_\_

**To Accountant**

[Name:

**FINANCE**

]

**Endpoint: Ability to use resources**

1. What is the total budgeted income for FP services and what is the proportion of last budget spent ?

**BUDGETED INCOME (ALL SOURCES) 1992**

Source	Amount	Period (if not collected for all of 1992)
Pathfinder		
Service Charges (FPAB Pill condom, IUD, Inj etc)		
Income Generation (SMC, Organon, Shop, etc)		
Donation in cash		
Subscription and dues		
Other		
Other		
<b>TOTAL</b>		

2. Donation in-kind (estimate annual value)

Savings from rent                      Tk \_\_\_\_\_

Savings from free labor                Tk \_\_\_\_\_

Savings from utilities                 Tk \_\_\_\_\_

Other                                        Tk \_\_\_\_\_

3. Total expenditures for 1992 and 1991

Source	Amount, 1992	Amount, 1991
Pathfinder		
Spent from interest account		
Spent from Income Generation SMC, Organon, Shop, etc		
Other Expenditure Source		
Other Expenditure Source		
<b>TOTAL EXPENDITURE</b>		

*Interviewer, please calculate non-donor expenditures/total expenditures:*

Percentage for 1992 \_\_\_\_\_, and percentage for 1991 \_\_\_\_\_

4. How many ELCOs, total active users and total expenditure you have in December, 1991 and in December, 1992? (accountant and statistics)

	1992	1991
ELCOs		
Active Users		

*Interviewer please calculate:*

	1992	1991
Unit Cost for ELCO = Total expenditures/ELCO		
Unit Cost for Active Users = Total expenditures/#AUs		

**Endpoint: Accounting system managed properly**

5. What was the total amount you have spent in 1992 for purchasing, and what percent was purchased personally by your organization without PF assistance?

Total Supplies and Equipment spent for 1992: Tk \_\_\_\_\_

Total Supplies and Equipment purchased by NGO for 1992: Tk \_\_\_\_\_

Percentage purchased by NGO: \_\_\_\_\_ %

6. What are the major problems you face in handling the accounts? Maximum 3.

7. Can you please show us the last audit report. *Interviewer please see audit recommendations. If there is any recommendations, discuss with PD to find out number of recommendations she/he has taken steps to address them.*

Number of recommendations: \_\_\_\_\_

Number of recommendations acted upon: \_\_\_\_\_

**To a Field Supervisor**

[Name: \_\_\_\_\_ ]

**HUMAN RESOURCES**

1. How long have you worked for the organization?

Duration \_\_\_\_\_

2. Do you know what your job description is?

Yes \_\_\_\_\_ No \_\_\_\_\_; If yes, specify three of your primary responsibilities:

i.

ii.

iii.

3. How much training have you received after joining this project?

Basic \_\_\_\_\_ Refresher \_\_\_\_\_

4. List two types of assistance you provide to Fieldworker?

5. Can you give us two examples of the objectives and achievement of the project.

**To a Fieldworker**

[Name: \_\_\_\_\_ ]

**HUMAN RESOURCES**

1. How long have you worked for the organization?  
Duration \_\_\_\_\_
  
2. Do you know what your job description is?  
Yes \_\_\_\_\_ No \_\_\_\_\_; If yes, specify three of your primary responsibilities:  
i.  
ii.  
iii.
  
3. How much training have you received after joining this project?  
Basic \_\_\_\_\_ Refresher \_\_\_\_\_
  
4. List two types of assistance you get from your supervisor:
  
  
5. What is your target for number of Active User for this year?
  
6. Do you have your current workplan? Yes \_\_\_\_\_ No \_\_\_\_\_

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**GUIDELINES, INTERVIEW TECHNIQUES  
AND  
INTRODUCTION**

## **AN INTRODUCTION TO MANAGEMENT NEEDS ASSESSMENT**

We are here to assess the management needs of your organization. Our questionnaire is a tool to estimate the level of management your institution has achieved, and to identify areas for further development. The results will help Pathfinder plan how it can best provide technical assistance to your organization in management development.

The Management Needs Assessment is not a supervisory or evaluation tool. The findings will be used only to assess the management needs of the organization, and assist us with next year's plans.

We will ask questions to the Chairman, PAC, Project Manager, Office Assistant, a Supervisor, and to one or two Fieldworkers. We will need one hour from the Chairman, PAC, three to four hours from the Project Manager and the office assistant, and two hours from the Supervisor and Fieldworkers.

You should feel free to answer these questions. Your responses will remain confidential. If necessary, we encourage you to use your files and reports, and consult your colleagues.

We hope you can give us your time and provide the cooperation necessary for this review.

Thank you very much.

## **GUIDELINES FOR FIRST INTERVIEWS TESTING VALIDITY, RELIABILITY AND EFFICIENCY**

1. Have only two people conduct the entire interview, the other people are to observe the process of the questionnaire and note approximate times to answer questions, good points and negative points of process.
2. Start the interview stating clearly that this is a management assessment tool which will be used to help PF in planning for how they can best provide technical assistance in management in the forthcoming year. Make it clear that the questionnaire process will be discussed, but **AFTER** the interview is completed. At this point, the Project Manager will be asked his or her opinion, and for any recommendations.
3. The four people from PF should then meet and discuss what parts of the questionnaire need to be revised, deleted, etc....
4. Only the scheduled person to be interviewed should be present during the interview.
5. Estimate time needed to answer each question
6. If you feel that additional questions need to be asked, please refrain from asking, but do take note of it.

Please remember, there will be a number of changes before this tool is in final form, so don't worry if and when we run into difficulties.

## **INTERVIEW TECHNIQUES AND PROCEDURES**

### **Establishing a Comfortable Environment**

1. Introduction: Personal (who am I, etc.); about the whole process; how much time the interview will take, etc.
2. Establish comfortable relationship (asking the respondent's name, whether his/her work is going well, etc., and also by introducing him/herself as mentioned previously).
3. Purpose of this interview. Tell the respondent that it is not an evaluation. There is nothing to worry about.
4. Preferably private interview.
5. Interviewer should attend only to respondent. He/she should not talk to other persons while the interview goes on.
6. Interviewer should maintain composure, interest, eye-contact with the respondent (good posture and attentive behavior).
7. Interviewer should encourage respondent to speak freely and confidently.
8. Respect confidentiality of the respondent.
9. Make clear importance of accurate responses.
10. At the introduction the interviewer can inform the respondent to hold any phone calls etc. by the respondent's secretary or someone else. (To maintain the attention of the interview).

### **General Procedures to be Followed**

11. Respondent can use any source of resources to retrieve the required information.
12. The questions should be asked as written — discuss/help respondent to understand if it is misconstrued by respondent.
13. Interviewer should note the source of information.
14. Review, examine, and note name and date of sources to validate responses.

15. Do not interrupt or discontinue respondent's answer (only do so to redirect, clarify the question). If the respondent moves away from the main topic — redirect him or her in a step-by-step or polite/gradually.
16. The interviewer should be time conscious.
17. If a question takes longer time to find the answer, ask respondent to seek help from someone else and proceed to the next question.
18. If the answer is incorrect, (known previously) the interviewer should not argue but ask respondent to examine source.
19. Request respondent not to share experience with future respondents.
20. Recommendations about things that might have been neglected during the interview (regarding the FP program or relevant topic of the respondent).
21. Recommendations about interviewing procedure. (if it can be improved any way).
22. Closing: (express thanks to respondent(s) for valuable time she/he/they spent for the interview).

**WORKPLAN  
AND  
PROCEDURES**

**WORKPLAN AND PROCEDURES  
FOR FIVE MANAGEMENT ASSESSMENT SITE TESTS**

**Visit 4-5 Sites, Train interviewers, Further Test Management Assessment Tool,  
and Identify Needed Revision in Management Tool**

**Period July to September**

**Arranging Interview**

1. Inform Project Manager of date and time by phone when possible, as well as purpose of assessment (see introduction).
2. Ask Project Manager to talk to PAC chairperson, one field worker, one supervisor, and one office assistant to be available (indicate approximate time needed and suggest agenda).
3. Explain that this is not a supervisory visit or an evaluation.

**People to Conduct Interview**

4. Initial 4-5 assessments should be Program Officer plus two other Pathfinder members.
5. Interviewers should divide the questions between them in advance and bring necessary copies.

**Interview**

6. Program Officer begins with introduction.
7. Program Officer and interviewers review the day's agenda.
8. Interviewers split up, with the Project Officer serving only as the observer and working between teams.
9. Three interviewers meet to briefly review answers to ensure that they have the necessary answers before leaving.
10. Day ends with Project Officer giving a "wrap-up".

## **Analysis**

11. 3 Interviewers will meet at the central office and discuss answers, and then entire team will enter the data on the Analysis Chart under the supervision of the same person who has a common understanding of the different breakdowns between the launch, growth, and mature stages of each of the endpoints. In this case, this person at the central level will be Program Manager.
12. Following the analysis, interviewers are asked to write a one to two paragraph synopsis of how they view the organization in respect to management needs. This will hopefully be useful in identifying any extraordinary factors (fire, flood, etc...) which could not be included in the questionnaire.
13. Any problems that are identified are discussed with the PF as a whole, so that future visits will have anticipated these problems.
14. The Program Manager will take the responsibility of noting which questions still need further revisions and what additional information needs to be included Milestone Chart as specific indicators which differentiate between the three stages of development.

**FIELD TEST RESULTS**

## **FIELD TEST RESULTS**

### **Summary of Two Visits for Testing Validity, Confidence, and Efficiency**

Two independent teams tested two different sites. The results of the analysis are included in the two following pages. It can be seen that the results were more similar by the second visit, but still contained enough variability to warrant a final revision of the management tool. For example, changing the way the questions are numbered should result in ending up with the same number of results to be analyzed. The result was the final copy of the enclosed Management Assessment Tool as well as the Milestone Chart. In addition, these two site visits were of considerable assistance in the development of the guidelines to be followed before, during, and after the interviews. It is clear that reliability of the data will evolve after the participants gain a common interview technique as well as a common understanding of how to interpret the data.

Concerning efficiency, it was felt that three should participate in the actual interviews during the initial test phase. In this manner, more people will be simultaneously trained for conducting the interviews on their own. For the remaining, 32 NGOs of Pathfinder, however, it is assumed that one person will be able to conduct the interview and the analysis in one day.

It will remain until the next visit to decide if the analysis of the results is taken mathematically further than currently presented. Given the principle that this instrument was not meant to be scientifically valid, but to serve as a source of information for the Strategic Planning Process, it is our expectation that further analysis will have diminishing marginal returns.

**COMPARATIVE RESULTS:  
First Two Trials**

Group: 1

NGO Site: Kishoreganj

COMPONENT	LAUNCH PHASE	GROWTH PHASE	MATURE PHASE
Organizational Structure and Lines of Communication	5 (55)*	1 (11)	3 (33)
Leadership	6 (55)	5 (45)	-
Human Resources	-	1 (13)	7 (87)
Mission and Plans	-	1 (20)	4 (80)
Finance	3 (50)	3 (50)	-
Community Participation	2 (50)	2 (50)	-

\* Figures in the parentheses are percentage.

Group: 2

NGO Site: Kishoreganj

COMPONENT	LAUNCH PHASE	GROWTH PHASE	MATURE PHASE
Organizational Structure and Lines of Communication	2 (22)*	2 (22)	5 (56)**
Leadership	2 (25)	6 (75)	-
Human Resources	-	-	7 (100)
Mission and Plans	-	4 (80)	1 (20)
Finance	3 (27)	8 (73)	-
Community Participation	2 (50)	1 (25)	1 (25)

\* Figures in the parenthesis are percentage.

\*\* Ability to respond to question improved significantly the second visit

**COMPARATIVE RESULTS:  
Second Two Trials**

Group: 1

NGO Site: Swanirvar

COMPONENT	LAUNCH PHASE	GROWTH PHASE	MATURE PHASE
Organizational Structure and Lines of Communication	N/A*	N/A	N/A
Leadership	1 (17)**	4 (66)	1 (17)
Human Resources	-	3 (50)	3 (50)
Mission and Plans	-	2 (40)	3 (60)
Finance	1 (14)	4 (57)	2 (29)
Community Participation	-	3 (100)	-

\* Not available

\*\* Figures in the parenthesis are percentage.

Group: 2

NGO Site: Swanirvar

COMPONENT	LAUNCH PHASE	GROWTH PHASE	MATURE PHASE
Organizational Structure and Lines of Communication	N/A*	N/A	N/A
Leadership	1 (12)**	5 (63)	2 (25)
Human Resources	1 (17)	4 (66)	1 (17)
Mission and Plans	-	3 (75)	1 (25)
Finance	2 (29)	3 (44)	2 (29)
Community Participation	-	1 (33)	2 (67)

\* Not available

\*\* Figures in the parenthesis are percentage

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**ANNEX VII:**  
**DRAFT SCOPE OF WORK FOR SEPTEMBER VISIT**

## **SCOPE OF WORK:**

### **PROMOTING SUSTAINABILITY OF NGOs**

**Bangladesh, September 23 - October 14, 1993**

#### Background and Purpose:

The purpose of the current team assignment is to conduct the second in a series of technical assistance visits planned for June 1993 - June 1994 under the scope of work (SOW) entitled "Technical Assistance in Promoting the Sustainability of NGOs".

The team will continue work initiated in June/July with senior management and program staff of the CAs (and with program managers of key NGOs) to finalize a management development assessment tool to collect and analyze information on the organizational strengths and weaknesses of NGOs. During this visit, emphasis will be placed on supporting staff in the application of these tools, on using the results in facilitating strategic planning exercises, and on identifying the types of technical support CAs should provide to promote managerial, institutional, and financial capabilities. A one-day workshop will be held in Dhaka to introduce strategic planning to CA and key NGO staff.

#### Objectives of the Consultancy:

The three-person team will undertake the following tasks:

1. Review the progress made by CAs against the two-month workplans established at the conclusion of the June/July 1993 consultancy. This will include a review of the management development assessment trials completed, revisions made to milestone indicators, the assessment tool, and guidelines for conducting assessments.
2. Serve as a technical resource as CAs conduct one or two additional management development assessments to perform final field tests for validity, reliability and efficiency.
3. Finalize tools and guidelines on conducting management assessments, incorporating CAs' feedback from their use in the field.
4. Analyze information collected during the trial assessments and apply it to the "milestone" indicators which have been developed.
5. Conduct a one-day workshop on Strategic Planning to be held in Dhaka.

6. Work with FPAB headquarters staff to develop a management development assessment tool to be used by FPAB project officers. Technical support will be provided as this tool is field-tested.
7. Participate in an initial USAID briefing meeting, a final USAID debriefing meeting, and any other meetings scheduled by USAID staff and representatives of the CAs, as appropriate.
8. Develop a specific scope of work for the next technical assistance consultancy and review the draft scope of work with USAID/Dhaka staff and CA executives. Schedule dates for the next technical assistance consultancy, currently tentatively scheduled for November 1993, prior to the team's departure.

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FPMD  
Management Sciences for Health  
400 Centre Street  
Newton, MA 02158, U.S.A.

MEMORANDUM

RECEIVED AUG 18 1993

August 12, 1993

TO:

Jeff Taylor  
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Jane Wickstrom  
Mukarram Chowdhury  
Shamima Hasan  
Abdur Rouf  
M. Alauddin  
Robert Timmons  
Dr. Turkiz Gokgol  
Alan Foose  
Louisa Gomes  
Quasem Bhuyan  
Maria Busquets-Moura  
Keys McManus  
Sawon Hong  
Adrienne Allison  
Nate Wooley  
Zynia Rionda

The Asia Foundation/Dhaka  
The Asia Foundation/Dhaka  
Association for Voluntary Surgical  
Contraception/Dhaka  
AVSC/Dhaka  
AVSC/New York  
Family Planning Association of Bangladesh  
FPAB  
Family Planning Services and Training Centre  
Pathfinder International/Dhaka  
Pathfinder International/Istanbul  
Pathfinder International/Istanbul  
USAID/Dhaka  
USAID/Dhaka  
USAID/Dhaka  
AID/Washington  
AID/Washington  
AID/Washington  
CEDPA  
POL/CDIE/DI, AID  
AID/Washington

FROM:

Alison Ellis, Regional Director, Asia/Near East, FPMD

Enclosed for your information and review is a copy of the trip report covering the visit to Bangladesh of Saul Helfenbein, Stephen Sacca and Roy Brooks during June 15-July 9, 1993.

Please contact me if you have any questions or comments.