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**TRIP REPORT: BANGLADESH**

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**FAMILY PLANNING MANAGEMENT DEVELOPMENT**

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## **LIST OF ACRONYMS**

## 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
MDA	Management development assessment
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**

Management Sciences for Health (MSH) through its Family Planning Management Development Project (FPMD) is collaborating with the AID/Dhaka-funded Cooperating Agencies (CAs) in Bangladesh to help them achieve their strategic goals of improving quality, expanding coverage and strengthening sustainability (QES) of family planning programs.

The purpose of this technical consultation was to finalize the development phase of the management development assessment tools following the field tests, and to show how Management Development Assessment (MDA) results can be used as inputs to strategic planning and the provision of technical assistance to improve management systems and skills, as conditions for sustainable organizations. This followed up the consultation in June - July 1993, when the MSH technical team introduced the principles of MDAs and worked with three of the CAs (Family Planning Service and Training Center [FPSTC], The Asia Foundation [TAF], and Pathfinder/Bangladesh) to develop the methodology and prepare the instruments and guidelines for conducting MDAs.

The MSH team continued to work on a one-on-one basis with the three CAs (FPSTC, PFI, and TAF). The level and focus of technical assistance were determined by the results of the field tests and the specific needs of each CA. The overall process, however, was similar: a review of experiences in administering the questionnaire, review of the results and approaches to analyzing MDA data, revision of the milestone indicator matrix and questionnaire based on the field test results, and development of a plan for the continued implementation of the MDAs. In addition, the team worked with two other CAs, AVSC and the Family Planning Association of Bangladesh (FPAB) to adapt the MDA methodology to the needs of these organizations. The team also conducted a one-day workshop on the link between MDAs and strategic planning.

Although the CAs have had differences in emphases and approaches in their work on the MDAs, there is a gradual convergence of the indicators and of the questionnaires. The instruments measure essentially the same level of management capabilities, although the specific capabilities vary. While variations in results may occur, the overall assessments should be consistent, with the basic strengths and weaknesses emerging from all three instruments. The differences in detail are more than compensated by the ownership of and commitment to the process of assessing the NGOs, enhancing knowledge about management and looking toward the development of internal technical assistance competencies to foster the managerial capabilities of the organizations as a means of increasing the chances for the sustainability of the NGO family planning activities. The CAs are now ready to begin to independently conduct MDAs for their client NGOs. These will be carried out from now until June 1994. The MDAs will determine which NGOs are suitable candidates for strategic planning. The current experience has shown that the vast majority of NGOs would mainly benefit from technical assistance to improve management skills and systems.

## **II. BACKGROUND**

Management Sciences for Health through its Family Planning Management Development Project is collaborating with the AID/Dhaka-funded Cooperating Agencies in Bangladesh to help them achieve their strategic goals of improving quality, expanding coverage and strengthening sustainability of family planning programs. The five CAs (Association for Voluntary Surgical Contraception [AVSC], The Asia Foundation, Pathfinder International [PFI], Family Planning Services and Training Centre, and Family Planning Association of Bangladesh [FPAB]) currently provide grants to approximately 115 non-governmental organizations (NGOs) to conduct family planning activities. Under a buy-in from USAID/Dhaka, FPMD is working with the CAs to promote the institutional and managerial sustainability of the NGOs, develop skills in training impact evaluation in the institutions which provide training for NGO project managers and field staff, and to implement a program management information system (MIS) for the NGO sector portfolio of the USAID/Dhaka population program.

The goal of the first component of the buy-in -- promoting institutional and managerial sustainability -- is to enable the CA program staff to conduct management development assessments. The CAs will use the results of the MDAs to identify managerial areas which need improvement, and to organize in-house resources to provide technical assistance to the NGOs. They will also use the results of the MDAs as inputs to strategic planning for selected NGOs.

From June 15 to July 9, 1993, a MSH technical team introduced the principles of MDAs and worked with three of the CAs (FPSTC, TAF, and Pathfinder) to develop the methodology and prepare the instruments and guidelines for conducting MDAs. Using a common framework introduced during a three-day workshop, each CA: produced indicators of managerial competence for six management components, questionnaires based on the indicators, and guidelines for conducting field tests to evaluate the reliability, validity and feasibility of the MDA methodology; carried out two field tests under the direction of the MSH technical team; and planned an in-depth field test during the period between this visit and the following visit of the technical team, which is the subject of this report. (See Trip Report for June 15 - July 9, 1993 for a complete review of the previous technical consultation.)

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

The purpose of this technical consultation was to finalize the development phase of the management development assessment tools following the field tests, and to show how MDA results can be used as inputs to strategic planning.

The FPMD technical team consisted of Roy Brooks, Principal Program Associate, Health Financing Program, MSH; Saul Helfenbein, Deputy Director, Population Division, MSH;

and Stephen Sacca, Senior Program Associate, Health Financing Program, MSH. William Newbrander, Senior Program Associate, Health Financing Program assisted in workshop preparation activities with the team in Boston.

The team carried out the following scope of work:

- a) Reviewed progress made by PFI, FPSTC and TAF against their workplan of activities, developed at the conclusion of the previous technical consultation in June/July.
- b) Conducted a one day workshop in Dhaka for senior-level staff from all five CAs and key NGOs to link the MDA process with strategic planning.
- c) Based on the results of the field tests conducted by the CAs during August and September, the team worked individually with PFI, FPSTC and TAF to finalize the MDA indicators, survey instrument, and guidelines.
- d) Served as a technical resource to PFI, FPSTC and TAF as they conducted additional management development assessment field tests to ensure the validity, reliability and efficiency of the methodology.
- e) Analyzed information collected by the three CAs during the August/September and October field trials and applied it to the "milestone" indicators which have been developed.
- f) Worked with FPAB headquarters staff to apply the principles of the management development process to their specific situation.
- g) Worked with AVSC, as requested, to apply the principles of the management development assessment process to their specific situation.

#### **IV. ACTIVITIES**

##### **1. Workshop on the linkages between MDAs and Strategic Planning**

A one-day workshop was conducted for 50 participants from the five CAs. The workshop had three parts: an in-depth presentation on strategic planning, a case study to review these concepts, and an analysis of the information which the MDAs provide for strategic planning. (The workshop program and materials are in Annexes I and III.)

During the workshop each CA made a brief presentation on progress in the MDA field tests, and lessons learned from this experience. (See Annex III for the summary reports). The presentations were followed by roundtable discussions on each CA's approach to MDAs

following the conclusion of this technical consultation. The next section reviews the technical work conducted with each CA.

## **2. Finalization of Management Development Assessment Methods and Tools**

The MSH team continued to work on a one-on-one basis with the three CAs (FPSTC, PFI, and TAF). The level and focus of technical assistance were determined by the results of the field tests and the specific needs of each CA. The overall process, however, was similar: a review of experiences in administering the questionnaire, review of the results and approaches to analyzing MDA data, revision of the milestone indicator matrix and questionnaire based on the field test results, and development of a plan for the continued implementation of the MDAs.

### **A. FPSTC**

Eight FPSTC program officers participated in field testing the MDA assessment instrument in the four NGOs, as planned. After the first round of field tests, they made several changes in the indicators and in their questionnaire. These changes were designed to ensure consistency between the indicators and the questions, as well as to make certain questions clear to the NGO respondents. The second round of field tests used the revised indicators and questionnaires. The program officers also revised the data analysis forms. At the end of both rounds, they conducted their analyses and completed two sets of analyses for each NGO. All eight participated for a full week in the review of the results of the field test phase.

#### **Findings of the field test results**

1. Collecting supporting documentation was sometimes difficult as the NGOs did not have materials prepared, as assumed.
2. In analyzing results, the interviewers had difficulties in differentiating between the family planning programs, other programs conducted by the NGOs, and the NGO itself.
3. The NGOs were often better prepared for the interviewers during the second round of the field test. As a result, interviewers were able to get better quality answers to the questions. Also by the second round, the NGOs were more apt to provide supporting documentation.
4. Because of the revisions made to the indicators and the changes introduced into the questionnaire, the program officers obtained different results during their analyses of some indicators, although the overall results remained consistent.

### **Positive attributes observed by the FPSTC team**

1. The NGOs were interested in the MDA and generally felt that this type of assessment was conducive to improving their management capability. In general it was observed that the NGO leaders would tolerate the MDAs if they perceived its benefits.
2. The MDAs led the FPSTC program officers to reconsider their initial assumptions that most of the FPSTC supported NGOs were in the growth stage. As the MDAs heightened their awareness of key management capabilities, they began to realize that it was more likely that the majority of NGOs were in the launch stage, that strategic planning was appropriate to a modest few, and that most NGOs would instead benefit from technical assistance directed at improving basic management skills and systems.
3. FPSTC envisioned an eventual integration of the MDAs into its general monitoring procedures. This idea arose because FPSTC views the MDA process as reinforcing its initial role of strengthening the NGOs as organizations. In principle, the NGOs should be benefiting from FPSTC management systems set up for the family planning project, and the family planning project should benefit from NGO capabilities and resources. The MDAs could be used to create this two-way relationship.

### **Points observed by FPSTC needing further improvement**

1. There was still room for further definition of indicators based on the field test results. The questionnaire could also be revised to make the questions more specific and to take into account the limits of documentation to verify indicators.
2. It was agreed that it would be advisable to distinguish between the family planning projects, the management of other projects, and the management of the NGO itself. The questionnaire should be revised to reflect these distinctions.
3. Additional emphasis was needed to refine the procedures for analyzing results. This area was given the highest priority by the FPSTC program staff.

### **Review of results and analysis of MDAs**

The eight FPSTC program officers involved in the MDA field tests worked with the MSH consultant to review the indicators and the questionnaire. The review also provided an opportunity to compare their MDA instruments with those produced by the other CAs. This was very helpful in refining indicators and questions. The MDA field test analyses raised other issues which needed to be addressed in the guidelines. These included obtaining explicit and implicit information, cross referencing questions, distinguishing between necessary and unnecessary documentation, ways of noting documented sources and information, and instructions for writing answers to questions. The review also indicated the need to prepare a glossary of terms to avoid any confusion. To this end, 70 terms were

identified from the list of indicators and questions.

The MSH consultant also worked with the program staff on the analytic process. Four levels in the analytic process were identified: tabulation of results from the questionnaire; analysis using the milestone framework to draw a profile of the NGO; conclusions concerning strengths and weaknesses of the NGOs based on the milestone analysis; and interpretation related to management development needs, and implications for technical assistance from FPSTC. A variety of rules to facilitate the analysis of results, as well as forms for each of the steps, and guidelines for writing MDA reports were also prepared. Lastly procedures for giving feedback to the NGOs were developed.

On the basis of this consultation, the milestone indicator matrix, the questionnaire, and the guidelines for conducting the MDA were revised to include a glossary of terms, forms to facilitate analysis, and procedures for preparing written reports and providing oral and written feedback.

## **B. PATHFINDER**

Pathfinder program staff completed their planned activities for pilot studies of the management development assessment questionnaires for Muktagacha, Mohanganj, Shimantik, and Ishwardi Projects. Annex VI contains the results of these pilot tests. Pathfinder then took the information derived from these pilot tests and added a data analysis which included projected technical assistance (column entitled "TA Need") required as a result of this survey instrument.

### **Findings of Pathfinder's field test results**

1. The survey instrument proved useful in helping Pathfinder program officers quickly learn about the management strengths and weaknesses of the NGOs.
2. The instrument also gave Pathfinder further insight into the operations of the NGO family planning programs.
3. The questionnaire quickly identified some of the salient technical assistance needs of the NGOs.
4. The NGO's themselves found the exercise useful, and non-threatening. In addition, the MDA process induced the NGOs to start making some improvements in their management systems as a direct, and unsolicited, result of the survey.
5. It is possible to coordinate a MDA assessment during regular monitoring visits.

### **Points Pathfinder observed needing further development**

1. Pathfinder program officers felt that some of the indicators biased results toward the "mature stage", when the program officer, on the basis of his/her experience, believed the NGO to be at the "growth" or "launch" stage.
2. Some of the questions could be further revised to be more clear, and have more tangible responses.
3. Further work needs to be done to make sure that the responses are included in the milestone matrix.
4. One person who supervises the analysis of the data acquired during the trip needs to be present in order to ensure uniformity of the data for interpretation.

The Pathfinder team worked with MSH on the issues observed that needed further development. Annex VI has the revised questionnaire and matrix developed.

Some discussions ensued concerning the methodology to be used in collecting and then analyzing the data. This methodology is different for each CA due to their different organizational structures and operations.

The entire management assessment team worked simultaneously to translate the questionnaire into Bangla. It was felt that in order to obtain reliable results, it had to be translated in a consensus fashion due to the many differences between English and Bangla. Lastly, a sub-committee of the management development assessment team made another field test. When they returned with the data collected from the field test, they divided into two groups of five, and using the information collected, placed the indicators on the milestone matrix. The differences observed in the interpretation of the data collected between the two groups was then used to further refine both the questionnaire and milestone matrix for a final time.

### **C. The Asia Foundation**

The Asia Foundation was able to complete all major plans specified in the two month workplan developed at the end of the last visit by the MSH consultants, which included conducting eight field tests of the MDA instrument, tabulation and interpretation of the results. This was accomplished despite the fact that two key staff changes occurred between July and September 1993. In early September, the TAF program officer who had been given responsibility for the MDA work in June took a three month leave to attend training in the USA. A new program officer was appointed to continue the MDA work. Concurrently, the permanent Population Program Manager arrived in Bangladesh, assuming responsibilities from the Acting Manager.

Although the original TAF program officer assigned to the MDA effort had completed tasks in the workplan, initial efforts of TAF during September focussed on assuring that the incoming staff understood all aspects of the process which had taken place to date, including the interpretation of field test results. No revisions in the TAF indicators, data collection instrument or method of analysis occurred prior to the return of the MSH consultant in September. Once the current staff in charge had thoroughly reviewed the three principal MDA tools (indicators, data collection instrument, and tabulation/analysis form), about 80% of it was revised. Specific activities of the MSH consultant and TAF staff during this consultation are summarized below.

### **Findings of the field test results**

Results of the eight field tests conducted during July and August led to the following conclusions:

1. The indicators required significant modification. It became apparent that in order to effectively associate the management capability of a NGO through the three milestone stages of development, corresponding indicators for each management component had to be produced. In addition, indicators needed to be more specific, with a greater emphasis on visual inspection of documentation instead of verbal responses from NGO staff.
2. The TAF program officers affirmed the necessity of using the MDA to assess the entire organization rather than just the family planning program. Discussions in June and July within TAF had not produced a clear consensus on the role of TAF to legitimately assess the management capabilities of a NGO's entire operations.
3. The data collection instrument requires several modifications. These include: adding a standard list of definitions so that TAF program officers and NGO staff define terminology in a clear and consistent manner; creating a section to summarize the organizational profile; expanding the management component section on leadership; modifying the management component section on finance to determine the capability; and developing indicators to assess a NGO's ability to coordinate, collaborate and communicate with external organizations and with subgrantees.
4. It was beneficial to interview project management staff and Executive Committee members together, and to omit interviews with field staff. Two advantages were noted. It removed potential suspicion and anxiety on the part of project management and field staff to the uses of information from the assessment, and it gave greater focus on documentation review rather than on verbal responses.

5. Tabulation and analysis were time consuming, and it was difficult to correlate information to the stages of development.
6. The pre-assessment activities were very important to the quality of the responses by NGO staff.

#### **Positive attributes observed by the Asia Foundation team**

1. All TAF field tests were conducted by two program officers. One had ongoing responsibility for managing subgrantee activities with the NGO being assessed, and the other had no direct association with the NGO. This combination proved effective in terms of providing an appropriate level of familiarity with NGO-specific issues, while at the same time providing an objective assessment of the organization.
2. Most NGO staff were open and supportive of the MDA assessment, and received the idea of future technical assistance with enthusiasm.
3. In many instances, the holistic approach of the MDA disclosed information on the management capabilities of the organization which were not readily apparent from monitoring routinely conducted by TAF or from information thought to be known about an NGO. Specifically, the management procedures in place for the NGO's family planning program had not, in most cases, been adopted for use by the organization as a whole. In terms of the long-term viability of the NGOs, the MDAs provided TAF with important information on where future emphasis for technical assistance should be directed.
4. TAF's planning process, in terms of policy toward the NGOs and appropriate technical assistance and training interventions, will be enhanced as a result of the MDAs.
5. In conjunction with the ongoing monitoring visits, the MDA can provide valuable baseline data on the management capability of an organization. MDAs conducted on a regular basis (biennially) after technical assistance interventions can provide useful feedback to TAF on the effectiveness of its interventions.

### **Points observed by The Asia Foundation which need further improvement**

1. Because the indicators and data collection instrument were significantly altered, it will probably require additional field testing to verify the results.
2. The tabulation and analysis processes have not been fully developed and tested. This will require a significant amount of time and effort by TAF, with the possibility that indicators and questions will be modified as a result.
3. All population office program staff need a detailed orientation together so that a common approach will be understood for preparing for MDAs, conducting MDAs, tabulating results, analyzing information and reporting results to NGO staff.

### **Review of results and analysis of MDAs**

Prior to departing for Bangladesh, the MSH consultant met in Boston with the TAF program officer who had been responsible for the MDA process through early September to obtain a status report on activities. This was the basis for initial discussions with the current TAF staff person in charge (MDA coordinator). A group meeting took place at the outset with all program officers to obtain a general sense of lessons learned. From this meeting, and through a detailed review of tools produced by other CAs, the MSH consultant worked with the MDA coordinator to revise the indicators, the data gathering instrument, and the tabulation/analysis format. It is estimated that about 80% of the tools were modified.

The revised indicators and data gathering instrument were circulated to all program officers, then revised again to incorporate comments. A field test was conducted and the results tabulated and analyzed. This led to another set of revisions of the indicators and questions. An important point surfaced when the results were analyzed by the MDA coordinator and program officers who participated in the assessment. For three of the management components, the indicators proved to be too "relaxed" for the milestone stage. As a result, the NGO scored in the "growth" and "mature" stage for Leadership, Organizational Structure/Lines of Communication, and Finance. The indicators for these components were revised to tighten the requirements for advancing from one stage to the next.

Since the MDA tools had been altered significantly, it was not appropriate to analyze the results of the previous assessments in detail. The workplan developed by the MDA coordinator prior to the MSH consultant's departure specified further field tests to be conducted in order to authenticate the validity, reliability and efficiency of the tools, and to more fully develop the analysis process of the MDA. A target date of 15 November was set by TAF to complete all testing and modifications to the MDA tools and to have conducted an orientation for all program staff.

## **D. AVSC**

As requested by AVSC and USAID/Dhaka, Roy Brooks met with Drs. Faisel and Sokantu to discuss how AVSC/Bangladesh could be involved in the management development assessment process. AVSC mentioned that they have two NGOs, the Badda Self Help Center and Kumudini Hospital, that they would like to work with to strengthen their chances of becoming self-sustaining by the end of their contract period (December 1994). It was decided that since there were only two NGOs to be assessed for technical assistance needs, the development of a management development tool would not be necessary, and that a mini-diagnosis of the management situation would be conducted jointly by Dr. Sokantu and Roy Brooks.

A questionnaire derived from previous work on the management development process was developed, and a site visit to the Badda center was made in order to begin the mini-diagnosis. On the basis of the initial results of this questionnaire, AVSC decided to hold a two day meeting with the management of Badda to review progress made over the past year, develop an annual work plan for 1994, and determine how progress against the annual plan would be monitored by AVSC.

This annual work plan process would include a review of options to generate more income, and related action plans. In addition, management assistance that Badda needs would be identified and planned for by AVSC. Dr. Faisel requested that the MSH consultant plan his next trip so as to be a part of this annual planning process.

## **E. FPAB**

FPAB began two separate management initiatives as a result of information obtained from workshops conducted under this buy-in. The first was an application of the MDA concept modified to accommodate FPAB's requirements. The second was the development of an action plan to support FPAB's three year objectives, as specified in their ten year strategic plan.

### **Application of the MDA concept**

Given that FPAB is structured as an organization with branches and affiliates rather than subgrantees, the MDA concept is not transferrable without some modification. Fueled by the enthusiasm of the FPAB Executive Director, FPAB sought to apply the general framework of the MDA to FPAB.

Initially, FPAB envisioned using the MDA to assess the management capability of its branches, and specifically, how well a branch was operating vis-a-vis the established procedures set forth by FPAB headquarters in Dhaka. As FPAB began to operationalize the concept to their own needs, the process changed emphasis. Rather than applying the MDA to its service delivery branches, FPAB applied the framework to its Woman's Program and

its Youth Program, which have 60 and 20 sites, respectively, around the country. Each site is an independent organization which is affiliated with FPAB for the purpose of implementing program specific activities.

After introducing the MDA concept to program officers responsible for these two programs as well as to senior volunteers from various sites around the country, they were asked to identify at what stage (launch, growth or mature) of development they thought the program and site offices were, what are the characteristics of that stage, what types of technical assistance would be necessary, and who should be responsible for providing it.

While still under development, this participatory approach to a management assessment process demonstrates a solid understanding of the conceptual approach to management development assessments and provides an innovative and self-directed application which has the potential to become a valuable management tool within FPAB.

### **Development of an action plan to support FPAB's three year objectives**

The MSH consultant participated as a resource person to FPAB in the initial development of an action plan to support FPAB's three year goals of their ten year strategic plan. Among the three year goals, eleven strategies were identified to be implemented. The MSH consultant reviewed the approach for implementing this activity with the FPAB Executive Director and provided comments on the proposed approach. Three objectives were identified:

1. To develop an action plan to support the eleven strategies of the three year goals within the ten year strategic plan;
2. To assess existing human resources in light of the human resource requirements specified in the action plan, and to modify the staff structure as necessary;
3. If necessary, to develop a new organizational structure to support the action plan and the modified human resource requirements.

The consultant participated in two plenary sessions with all FPAB program officers and senior staff. The first session was held to inform the staff of the objectives, establish a format and timetable for completing the action plan, divide the assembly up into smaller working groups and to obtain their feedback and ideas on the process. The second plenary was a series of presentations by each of the work groups to present their proposal of activities to accomplish one of the eleven strategies. At the conclusion of the second session, a revised timetable was developed for the completion of activities to support the remaining strategies.

The MSH consultant served as a resource to the Executive Director during the planning

phase of this activity as well as during the plenary sessions.

## V. CONCLUSIONS

The three CAs have begun to master the process of management development assessments. The CAs have invested considerable time and effort into the MDAs -- the previous consultation in June/July, the field tests, and the review and revision resulting from the current consultation. The investment has paid off in terms of the CAs' increased understanding of the operations of the family planning programs they support, and a greater awareness on the part of the NGOs as to the need to improve their own management skills and systems. The CAs have already begun to recognize the utility of the MDAs for identifying management components in the NGOs that need strengthening.

As the MDA process continues, differences in the CAs' emphases and approaches are emerging. For example, Pathfinder assessments focus more on family planning project activities, while FPSTC and TAF focus more on the NGO as a whole. FPSTC has designed one questionnaire for all interviewees, while TAF and Pathfinder have developed special questionnaires or questions for different groups of interviewees. Pathfinder and TAF have questions to cross check answers from different interviewees, while the FPSTC questionnaire emphasizes using information from different management components as a means of double checking answers or filling in gaps in the information. The three CAs, however, all recognize that the instrument alone cannot provide a complete profile of the NGOs and that the CAs must also rely on their prior knowledge and experience as reality checks as well as to place the MDA generated information in context.

Despite these differences in emphases and approaches, there is a gradual convergence of the indicators and of the questionnaires. Although the three CAs formulate the indicators differently, they cover the same areas, and show similar differences at the launch, growth and mature stages. There is also a similar mixture of process and performance-type indicators. Thus, the instruments measure essentially the same level of management capabilities, although the specific capabilities vary. Would the CAs obtain similar results if they used each other's instruments? While this cannot be definitively deduced from a review of the indicators and questionnaires themselves, each CA could comfortably use the others' instruments, as they are based on the same conceptual framework. While variations in results may occur, the overall assessments should be consistent, with the basic strengths and weaknesses emerging from all three instruments. The possibility of such a test was discussed at the wrap-up meeting for this consultation.

The CAs are now ready to begin to independently conduct MDAs for their client NGOs. These will be carried out from now until June 1994. The MDAs will determine which NGOs are suitable candidates for strategic planning. The initial round of field tests suggests that, in reality, there are only a few NGOs which have the capacity to undertake strategic planning, and that the vast majority of NGOs would mainly benefit from technical assistance

to improve management skills and systems.

The basic MDA methodology was also applied by AVSC and FPAB under very different circumstances. The methodology has thus proven to be very robust and capable of meeting a variety of different needs of the CAs. Each CA has therefore been able to participate in every facet of development of the MDA methodology. The differences in detail are more than compensated by the ownership of and commitment to the process of assessing the NGOs, enhancing knowledge about management and looking toward the development of internal technical assistance competencies to foster the managerial capabilities of the organizations as a means of increasing the chances for the sustainability of the NGO family planning activities. These issues will be looked at more closely during the next visit of the technical team. (See Annex VII for the draft scope of work for the next technical consultation visit.)

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

## ORGANIZATIONS AND PERSONS CONTACTED AND WORKSHOP PARTICIPANTS

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Population Program Manager  
Acting Deputy Program Manager  
Senior Program Officer  
Program Officer  
Program Officer  
Program Officer  
Program Officer  
Program Officer  
Program Officer

**Family Planning Association of Bangladesh**

Mr. Mukarram H. Chowdhury  
Mr. Mizanur Rahman  
Ms. Shamina Hasam  
Mr. Md. Nazrul Haque  
Mr. Mohammad Mahbub Alam  
Mr. Ab. Md. Zakaria  
Mr. Mohd. Waliullah  
Mr. Ershadul Haque  
Mr. Kazi Mohd. Ali Jinnah  
Mr. Md. Shahid Hussain  
Mr. Md. Abúus Salam  
Mr. Md. Shoail Jalil  
Ms. Kohinoor Beguiri  
Mr. Md. Habibur Rahman  
Mr. Md. Lutfar Rahman  
Mr. Md. Ismail Hossain Bhuiyan  
Mr. Sk. Roje Mohammad  
Mr. Md. Enamul Haque Chowdhury  
Mr. Md. Tofazzalur Rahman  
Mr. Md. Abul Kashem  
Mr. H. Abbas Uddin

Director General  
Deputy Director General  
Deputy Director (USAID)  
Deputy Director (IEC & TRE)  
Assistant Director (IEC)  
Assistant Director  
Assistant Director (Oper)  
Assistant Director (CPA)  
Assistant Director (USAID)  
Senior Program Officer  
Senior Program Officer  
Senior Program Officer  
Senior Program Officer  
Program Officer  
Program Officer  
Program Officer  
Deputy Program Officer  
District Program Officer  
District Program Officer  
District Program Officer  
Coordination Officer

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

**SCHEDULE OF VISITS DURING CONSULTANCY**  
**29 September - 14 October 1993**

- September 29 Briefing with USAID/OPH on CA/NGO program and on visit goals
- Meeting with Pathfinder International to discuss progress against workplan and workshop agenda.
- Meeting with the Asia Foundation to discuss progress against workplan and workshop agenda.
- September 30 Meeting with the FPSTC to discuss progress against workplan and workshop agenda.
- Meeting with AVSC to discuss options for MSH assistance under this buy-in
- Meeting with the FBAB to discuss options for MSH assistance under this buy in and workshop agenda
- October 3 Team works individually with FPSTC, TAF and Pathfinder
- October 4 Workshop on "Linking Management Development Assessments to Strategic Planning" at Dhaka Sheraton Hotel
- October 5 Team works individually with FPSTC, TAF and Pathfinder
- October 6 Team works individually with FPSTC, TAF, Pathfinder and FPAB
- October 7 Team works individually with FPSTC, TAF, Pathfinder and FPAB
- October 9 Work with FPAB
- October 11 Team works individually with FPSTC, TAF, Pathfinder and AVSC
- October 12 Team works individually with FPSTC, TAF and Pathfinder
- October 13 Team works individually with FPSTC, TAF, Pathfinder and AVSC
- October 14 Debriefing with USAID/OPH and joint wrap up meeting with FPSTC, Pathfinder and The Asia Foundation

**ANNEX III:**

**WORKSHOP AGENDA**

**OVERHEADS PREPARED BY THE TEAM FOR THE WORKSHOP  
WORKSHEETS GIVEN TO PARTICIPANTS DURING WORKSHOP**

**PRESENTATIONS MADE BY CA STAFF OF LESSONS LEARNED FROM MDA PROCESS**

**WORKSHOP ON  
LINKING MANAGEMENT DEVELOPMENT ASSESSMENTS  
TO STRATEGIC PLANNING  
SHERATON DHAKA HOTEL  
4 OCTOBER 1993**

**AGENDA**

0900-0915	Introduction and Purpose of Workshop	Plenary
0915-1015	Review of Strategic Planning Process	Plenary
1015-1030	Tea break	
1030-1200	Case Study Exercise	Groups (to be announced)
1200-1300	Comments by CAs on the Management Development Assessment Field Trials	Plenary
1300-1345	Lunch	
1345-1515	Application Exercise using Results from Field Trails performed by CAs	Groups (by CA)
1515-1530	Tea break	
1530-1630	Continuation of Application Exercise	
1630-1645	Wrap Up	Plenary

**OVERHEADS AND PARTICIPANT HANDOUT  
PREPARED BY THE TEAM  
FOR THE WORKSHOP**

**"WE ARE TACKLING 20-YEAR  
PROBLEMS WITH FIVE-YEAR PLANS  
STAFFED WITH TWO-YEAR PERSONNEL  
FUNDED BY ONE-YEAR  
APPROPRIATIONS."**

**HARLAND CLEVELAND**

## **MANAGEMENT DEVELOPMENT TOOLS**

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

### **WHAT ARE THE BENEFITS OF STRATEGIC PLANNING?**

#### **STRATEGIC PLANNING PROVIDES.....**

- **AN INTEGRATED SENSE OF MISSION, PURPOSE AND DIRECTION**
- **A FRAMEWORK FOR DECISION MAKING**
- **A CLEAR SENSE OF GOALS AND PRIORITIES**
- **AN OPPORTUNITY FOR STAFF TO PARTICIPATE IN THE DIRECTION OF THE ORGANIZATION**
- **IMPROVED COORDINATION WITHIN THE ORGANIZATION**
- **IMPROVED COLLABORATION WITH FAMILY PLANNING PROGRAMS OF OTHER ORGANIZATIONS**

## **DIRECTIONS**

### **PROGRAMS**

### **RESOURCES**

**Directions:**     **The Mission an Organization will Pursue**

### **MAKING TOUGH CHOICES**

**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**
- 

## **ESSENTIAL ELEMENTS FOR SUCCESSFUL STRATEGIC PLANNING**

■     **PERCEIVED NEED FOR CHANGE**

■     **MANAGEMENT COMMITS TO:**

**HONEST EXPLORATION OF NEW  
OPPORTUNITIES AND DIRECTIONS**

**PARTICIPATION OF ALL LEVELS OF STAFF**

**ADEQUATE TIME AND RESOURCES**

- **INTERNAL STRATEGIC PLANNING TEAM**
- **RECOGNITION OF LIMITED RESOURCES e.g. NEED TO MAKE TOUGH CHOICES**
- **RECOGNITION THAT SOME GOALS HAVE MORE IMPACT ON PROGRAM SUCCESS THAN OTHERS**
- **OUTSIDE FACILITATION**

**CREATING CHANGE IN ORGANIZATIONS**

**ORGANIZATIONAL CHANGE**

NO	YES
<p><b>NO CHANGE</b></p>	<p><b>RESISTANCE WASTED ENERGY</b></p>
<p><b>SHORT-LIVED DISAPPOINTING CYNICISM</b></p>	<p><b>ENDURING WELL-SUPPORTED CHANGE</b></p>

**NO**

**INDIVIDUAL  
CHANGE**

**YES**

## THINKING STRATEGICALLY

- ORIENTED TOWARD THE FUTURE
  - HAS EXTERNAL EMPHASIS
  - FOCUSES ON ASSURING A GOOD FIT BETWEEN THE ORGANIZATION AND THE ENVIRONMENT
  - A CONTINUOUS PROCESS
- 

### ORIENTED TOWARD THE FUTURE

- Recognizes that the environment will change
  - Attempts to anticipate events rather than react to them
- 

### HAS EXTERNAL EMPHASIS

- Takes into account:
    - technology
    - politics
    - economics
    - social dimension
- 

### FOCUSES ON ASSURING A GOOD FIT BETWEEN THE ORGANIZATION AND THE ENVIRONMENT

- Perpetually anticipates what will be required to assure a continued fit
  - Critical elements of the organization will need to be continuously re-assessed and modified as the environment evolves.
-

## **STRATEGIC THINKING IS CONTINUOUS**

- **Open to changing goals and activities in light of shifting circumstances within the environment**

### **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 and Prioritize Activities (Strategies) to Reach Goals**
  7. **Create a three to five year Implementation Plan and Budget**
- 

1. **DEFINE THE ORGANIZATIONAL PURPOSE (MISSION)**

#### **WHAT ARE WE HERE FOR?**

- **Identifies the TYPE of organization,**
- **Identifies the organization's PURPOSE**
- **Identifies the VALUES of the organization**

## **EXAMPLES OF A MISSION STATEMENT**

### **MCH/FP Division of a Ministry of Health:**

**To improve the health and well-being of low income families and individuals throughout the country through the provision of MCH and contraceptive education and services**

### **Private non profit provider of family planning services:**

**To increase the availability and use of high-quality, voluntary reproductive health and family planning services in the capital city and surrounding neighborhoods**

### **Training Department of an MCH/FP Division of a Ministry of Health:**

**To train health professionals and community workers throughout the country to provide basic and high-quality MCH and family planning services**

1. **ANALYZE INTERNAL ENVIRONMENT**

**DO WE HAVE THE CAPABILITY TO ACHIEVE OUR MISSION AND TO PUT OUR STRATEGIES INTO MOTION?**

- Identifies the resources available internally
  - skill base of staff
  - financial resources
  - capital resources
- Identifies how effectively resources are used
- Identifies the structure and operating climate within an organization
- Identifies the relationship an organization has with its stakeholders
- Identifies how effectively the internal departments coordinate and communicate with each other as well as with other organizations in the health and family planning sector

2. **ANALYZE EXTERNAL ENVIRONMENT**

**HOW WILL EXTERNAL CHANGES INFLUENCE THE DIRECTION OF OUR MISSION AND STRATEGIES?**

**FOUR BROAD AREAS:**

- **CULTURE, POLICY, ECONOMY AND HEALTH**
  - **BACKGROUND DEMOGRAPHIC DATA**
  - **SUPPLY OF AND DEMAND FOR FAMILY PLANNING SERVICES**
  - **SOURCES OF FUNDING AND COMMODITIES**
- Identifies major trends in each area which may have an impact on the performance of an organization

## EXAMPLES OF DATA SOURCES TO ANALYZE THE EXTERNAL ENVIRONMENT

### DEMOGRAPHIC AND HEALTH INDICATORS:

Census data from Ministry of Planning.

When available, refer to:

Civil Registration System

Demographic and Health Surveys

World Fertility Survey

Epidemiological studies on sexually transmitted

diseases, infertility, teenage pregnancies, abortion, breastfeeding practices

### SOCIO-ECONOMIC INFORMATION

Household Surveys

Socio-economic indicators from the Ministry of Economic Affairs

Sociological and anthropological studies

Interviews and community surveys

Geographical maps

Universities

International Organizations

### FAMILY PLANNING INFORMATION

Contraceptive prevalence surveys

Knowledge, Attitudes and Practice (KAP) surveys

Family planning service statistics

Contraceptive distribution statistics from service facilities or from regional/central warehouses

Operations Research Reports

Epidemiological studies on breastfeeding practices and method side effects

Statistics on STDs and abortions

Client interviews and observations

Focus group research

Annual reports from family planning organizations projects and programs

### EXISTING PLANS IN POPULATION AND HEALTH SECTOR

National five-year plan

Ministry of Health plan

Population plan (where available)

Regional health and population plans

Local (district) plans

Plans from private sector agencies

Related program and project plans

Country strategies of donors

Interviews with staff of major donors and family planning providers

### POLICIES AND REGULATIONS

Ministry of Health regulations

Population policy and regulations relating to paramedical personnel or to the importation of contraceptives

3. **IDENTIFY KEY STAKEHOLDERS AND THEIR EXPECTATIONS**

**WHO HAS A DIRECT INTEREST IN AND ARE CAPABLE OF INFLUENCING THE ACTIONS OF THE ORGANIZATION?**

- Identifies individuals, groups and other organizations who provide a significant base of political support to the organization
- Identifies the criteria they apply to assess the organization's performance
- Identifies their incentives for cooperation

**EXAMPLES:** Beneficiaries  
Board of Directors  
Employees  
Competitors  
Political factions  
Funding Sources

4. **DEFINE ORGANIZATIONAL GOALS**

**WHAT MUST WE ACCOMPLISH TO ACHIEVE OUR MISSION?**

- Identifies the specific achievements which the organization will accomplish, usually within a stipulated period of time
- Goals are formulated based on information obtained from analysis of the Internal and External environment and Stakeholders analysis
- **CHOICES MUST BE MADE!**

**EXAMPLES OF ORGANIZATIONAL GOALS:**

To reduce the Total Fertility Rate (TFR) to 4.5 by 1996

To increase the financial sustainability of the family planning program while providing high-quality services and ensuring access to low-income clients

To increase contraceptive prevalence in underserved areas

To incorporate measures of quality of care and user satisfaction into the management information system

5. **PRIORITIZE GOALS**

**WHAT ARE THE MOST IMPORTANT GOALS TO ACCOMPLISH OUR MISSION?**

- **Sequence goals on a basis of:** priority  
logic  
timing
- **CHOICES MUST BE MADE!**

6. **IDENTIFY AND PRIORITIZE ACTIVITIES (STRATEGIES) TO REACH GOALS**

**WHAT IS THE BEST WAY TO ACCOMPLISH OUR GOALS?**

- **Identifies several options to accomplish a goal, which are compared for their:**

viability  
feasibility  
desirability

considering organization's mission, internal and external environment, and stakeholder's analysis

- **CHOICES MUST BE MADE!**

**EXAMPLE:**

**GOAL:** To lower rates of unwanted adolescent pregnancies

**POTENTIAL STRATEGIES:**

Post-partum family planning programs, either in hospitals or maternities or with traditional birth attendants

Community-based peer educator/distributor programs

Sex education in schools

Adolescent centers with a wide variety of activities and services in addition to family planning

Providing separate hours or space for teenagers at existing family planning or health clinics

Using the mass media to communicate key messages

**KEY QUESTIONS TO ASK AT THIS STAGE:**

Can the strategy work from a practical as well as theoretical perspective?

Is the organization capable of carrying out the strategy?

Does the organization have the human and material resources which are required to implement the strategy?

Is the organization's structure appropriate for implementing the strategy? Should the structure be changed?

Will the strategy accomplish what it was intended to do and benefit those intended?

Can the strategy be sustained, and can it adapt to anticipated changes in the environment?

Can the necessary resource base be sustained over the life of the strategy?

Is the strategy compatible with the organizations purpose and those of collaborating institutions?

Is the strategy targeted to the most appropriate beneficiaries?

Is the strategy compatible with the legal and bureaucratic setting?

**7. CREATE A THREE TO FIVE YEAR MANAGEMENT DEVELOPMENT PLAN AND BUDGET**

**WHAT ARE THE SPECIFIC ACTIVITIES TO IMPLEMENT THE SELECTED STRATEGIES AND HOW MUCH WILL IT COST?**

- Identifies the specific human, material and financial resources which are necessary to carry out the strategic plan

## SELECTED GLOSSARY OF TERMS

**Activities:**

Actions that will be undertaken by the program staff in order to achieve program objectives.

**Annual Work Plan:**

A document that describes what the organization will do over the period of one year and links together the work plans of all program components

**Effectiveness:**

The extent to which a program has made desired changes or met its objectives through the delivery of services

**Efficiency:**

The extent to which a program has used resources appropriately and completed activities in a timely manner.

**External Environment:**

The prevailing conditions in the country or region that affect family planning program development, including culture, policy, economy, health, market, sources of funding and commodities, and demographics

**Goals:**

The proposed long-range benefits of the program for the selected population, defined in general terms.

**Mission Statement:**

A brief general statement of the type of organization, its main purpose, and its values.

**Objectives:**

The anticipated results or outcomes of a program, representing changes in the knowledge, attitudes and behavior of the program's clients, described in measurable terms and indicating a specific period of time during which these results will be achieved.

**Organizational Structure:**

The formal system of working relationships within an organization, showing the reporting relationships between different functions and positions of the management and staff. This structure is often represented in the form of a diagram or chart.

**Performance Objectives:**

The end results that are expected to be achieved by an organization or an individual employee. Performance objectives determine the type and scope of activities that an organization or staff member will undertake for the purpose of achieving the desired results.

**Planning:**

The continuing process of analyzing program data, making decisions and formulating plans for action in the future, aimed at achieving program goals.

**Program Components:**

Functional units of an organization that provide services aimed at accomplishing organizational goals, such as CBD component, a clinic component, or an IEC component.

**Strategic Planning:**

Long-range planning, covering a period of three to five years, that includes setting goals, strategies, and objectives for your program.

**Strategies:**

The methods that an organization will use to deliver services and implement activities in order to achieve its goals.

**Target Population:**

The specific population intended as beneficiaries of a program. This will be either all or a subset of potential users such as adolescents, pregnant women, rural residents, or the residents of a particular geographic area.

**Targets:**

Objectives that have been broken down into smaller units and restated in numerical terms. They pertain to a specific program component, such as a clinical IEC component, and encompass a specific period of time such as a quarter, month, or week.

**Work Plan:**

A document developed by the manager and the staff, covering a specified period of time, which lists all planned activities, the date by which they will be accomplished, the resources that they will require, and the people responsible for carrying them out.

**Work Planning (also known as Operational Planning):**

A process through which an organization decides what activities will be conducted, which department or staff will carry them out, the resources that will be needed, and the time frame for completing the activities. Work planning usually covers a period of a year or less.

**WORKSHEETS GIVEN TO PARTICIPANTS DURING WORKSHOP**

## BASMATI'S STRATEGIC PLAN

Basmati is a NGO in the country of Pandora. Basmati's purpose is to offer high quality family planning services to meet the needs of different segments of the population.

As Pandora's national family planning program expands and matures, it will face new types of program challenges. Simple supply problems, for example, the initiation of services, will be improved by meeting the challenges of tapping latent demand (ie. demand which exists but is not yet manifested). Basmati's strategic plan represents an effort to define priorities in the changing environment of the 1990's and to support the major goal of the national family planning program, which is a reduction in the country's Total Fertility Rate (TFR) from 7.5 to 6 by the year 2000. The priorities it has identified, based on its own assessment of its strengths and weaknesses, call for a shift toward segmenting the target population in order to streamline program operations.

In support of Basmati's purpose, five goals have been identified in the organizations strategic plan:

1. Expand service delivery
2. Strengthen management systems
3. Develop human resources
4. Develop advocacy and mass media IE&C (Information, education and communication) programs
5. Expand revenue generating activities

Basmati's strategic plan calls for targeting services to groups that are under served by existing Maternal and Child Health/Family Planning (MCH) services. These include those categories of people who for one reason or another cannot conveniently get family planning services in MCH clinics, e.g. males, sexually active young people, women seeking reproductive health care services and women without young children to take to MCH clinics, and women and men seeking long term clinic methods. Expansion of Basmati's services will be directed to under served but densely populated areas (e.g. periurban zones) where there is evidence of strong demand for family planning services with little actual use. By focusing on these groups, Basmati will draw on its comparable strengths, thereby enhancing its contribution to Pandora's National Family Planning Program.

As the leading family planning NGO, Basmati is especially well positioned to play a demonstration role with respect to the introduction of long term clinical methods, which are suitable for meeting the needs of key segments of its target population. By initiating services for these methods in its clinics in the capital city, Basmati is playing an advocacy role which, because of the controversial nature of these services, involves exposure to considerable risks. However, the organization's careful attention to providing high quality services, including counselling and follow-up services, will help ensure a successful introduction of long term clinical contraception in Pandora over the next five years. Basmati plans to gradually expand the availability of these services both through expansion of its own service delivery system and training of other providers.

As Basmati's history as Pandora's pioneering family planning association has demonstrated, after a period of successful operation, it is likely that it will become politically more costly to withdraw these services rather than to keep and expand them.

While Basmati will remain active in Information, Education and Communication (IE&C), its efforts will

be more focused on supporting family planning service delivery. IE&C activities will target key groups, which include men, women interested in long term contraception, and young adults.

Basmati's capacity to implement the plan will require a solid management base. Based on an internal organizational assessment, the following areas were identified as requiring attention:

1. The structure of the organization does not reflect the current and anticipated goals of the organization.
2. Staff do not possess the necessary skills to implement their job.
3. Job descriptions are out of date.
4. The salary scale is inadequate to successfully recruit and retain capable staff.
5. The Management Information System is unable to serve the current and anticipated needs of the organization.

The implementation of the strategic plan is based on a number of assumptions related to the external environment. They are:

1. Without firm commitments from the donor community, it will be impossible for Basmati to follow the course it has laid out.
2. Implementation of the reorganization will not be encumbered by the policies of Basmati's principal sponsor, governing board, or the Government of Pandora (GOP).
3. Technical assistance will be available for all of the activities.
4. The current policy environment for family planning will remain favorable, and Basmati will not suffer any serious attacks that would limit its ability to carry out the activities described here.

There will be periodic reviews of the Strategic Plan to assess progress to date.

## CASE STUDY EXERCISE

For each step of strategic planning, review the study questions within your group and summarize the discussion below.

### Organizational Purpose

Identify Basmati's organizational purpose.

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Does this purpose meet the following criteria:

Is it clear?

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Can be understood easily by all people within the organization?

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Can it foster collaboration within the organization, with other NGOs involved in Family Planning and the Government, or is it too general to avoid potential conflict with other organizations?

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Can you think of another example of how to state the purpose in no more than one or two sentences?

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**Key Stakeholders and their Expectations**

Identify the principal stakeholders within and outside of the organization.

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How are each of these stakeholders important for the realization of Basmati's mission and goals?

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How similar or different do you think their expectations of the organization are?

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**Prioritize Goals**

Within the context of the national program strategy and the organizational purpose, what would you suggest should be the priority of their goals and why?

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What additional information would you like to have that would better assist you in establishing these priorities?

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# APPLICATION OF FIELD TEST RESULTS

For each step of strategic planning, review the information obtained from ONE field test within your group and complete the relevant sections below.

## Organizational Purpose (Mission)

Information obtained by the MDA

instrument: \_\_\_\_\_

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Identify other information which is necessary for this step but not

obtained: \_\_\_\_\_

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Identify additional information

sources: \_\_\_\_\_

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**Internal Environment**

Information obtained by the MDA instrument: \_\_\_\_\_

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Identify other information which is necessary for this step but not obtained: \_\_\_\_\_

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Identify additional information sources: \_\_\_\_\_

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**External Environment**

Information obtained by the MDA instrument: \_\_\_\_\_

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Identify other information which is necessary for this step but not obtained: \_\_\_\_\_

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Identify additional information sources: \_\_\_\_\_

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**Key Stakeholders and Their Expectations**

Information obtained by the MDA instrument: \_\_\_\_\_

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Identify other information which is necessary for this step but not obtained: \_\_\_\_\_

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Identify additional information sources: \_\_\_\_\_

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**Organizational Goals**

Information obtained by the MDA

instrument: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Identify other information which is necessary for this step but not  
obtained: \_\_\_\_\_

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Identify additional information

sources: \_\_\_\_\_  
\_\_\_\_\_  
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**Prioritize Goals**

Information obtained by the MDA

instrument: \_\_\_\_\_  
\_\_\_\_\_  
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Identify other information which is necessary for this step but not  
obtained: \_\_\_\_\_

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\_\_\_\_\_

Identify additional information

sources: \_\_\_\_\_  
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**Activities (Strategies) to Reach Goals**

Information obtained by the MDA

instrument: \_\_\_\_\_

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Identify other information which is necessary for this step but not  
obtained: \_\_\_\_\_

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Identify additional information

sources: \_\_\_\_\_

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**Create a Plan and Budget**

Information obtained by the MDA

instrument: \_\_\_\_\_  
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Identify other information which is necessary for this step but not

obtained: \_\_\_\_\_  
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Identify additional information

sources: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PRESENTATIONS MADE BY CA STAFF OF LESSONS LEARNED FROM MDA PROCESS**

## **Family Planning Service and Training Centre (FPSTC)**

Presentation by Dr. Selina Ahmed, Project Officer (Medical)  
at October 4 Workshop

### **ACTIVITIES ACCOMPLISHED**

- Developed a guideline, questionnaire, milestone indicator, profile sheet for MDA
- Orientation of other team members
- Visited 4 organizations
- Debriefing Sessions
- Modified the MDA instrument
- Developed MDA analyzing tool
- Prepared MDA report

### **LESSONS LEARNED**

- Two persons will be needed to do an MDA visit in two days
- It takes more time to check the documents
- Skill of interviewing is very important for MDA
- Lack of proper documentation will hamper MDA
- Organization leaders have shown interest about MDA
- Leaders may not give sufficient time due to their pre-occupation inspite of the interest
- Second MDA visit was easier
- Learned a new technique of assessing an organization

# **The Asia Foundation (TAF)**

## **Categories for Comments**

**Presentation by Kirsten Lundeen, Population Program Manager  
at October 4 Workshop**

1. **Assessment Indicators**
  - correlating document with tool
2. **Pre-Assessment Activities**
  - letter
  - phone
  - in-house team
3. **Application of Assessment Tool**
4. **Analysis of data and Report Preparation**
5. **TAF Management Issues**

**TAF Assessment  
Comments**

1. **OVERVIEW**

**Glossary of Terms**

\*Need to access inter-agency "3-C's"; Coordinate, Collaborate, and Communicate

\*Request of specific documents

2. **ASSESSMENT TOOL**

**Organizational "profile" to include:**

- Multi-service/single
- National organization/local organization
- Number of sub-grantees
- Funding sources and budget

**Mission, Plans, Strategies, Goals, etc.**

- Define in terms of understandability

**Community Participation**

- Interview more EC members

**\*Leadership**

- Expand Section
- Assess "Real" commitment

**Human Resource Management**

- Only was able to assess FP program

**Finance**

- Unable to determine umbrella organization's picture

**Management Assessment of Field Staff**

- Field staff - use of appropriate language and issues

**\*Inter/Interview Reliability**

3. **Analysis and Report Preparation**

**Time consuming**

Difficult to correlate all variables on Assessment Tool with stages

Weigh relativity of importance of indicators

4. **\*TAF's Planning Process**

**Policy**

**Technical Assistance**

**Training**



**ANNEX IV**  
**FPSTC MANAGEMENT ASSESSMENT MATERIAL**  
**MILESTONE INDICATORS FOR MANAGEMENT DEVELOPMENT ASSESSMENT**  
**QUESTIONNAIRE FOR MANAGEMENT DEVELOPMENT ASSESSMENT**  
**DATA TABULATION FORM AND MDA PROFILE**

# FPSTC

## MILE STONE INDICATORS FOR MANAGEMENT DEVELOPMENT ASSESSMENT

### MANAGEMENT COMPONENT: ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION

End points	Specific Indicators	Sources	Key Questions
Management and Administrative Practice	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Organogram may or may not 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 reviewed and modified</li> <li>- Standard management manual in place and consistently followed</li> <li>- 75% &gt; scheduled meetings take place</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>

<p><b>MIS</b></p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- No standard format exists for record keeping &amp; reporting</li> <li>- No reviewing system present</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Standard formats exist for record keeping &amp; reporting</li> <li>- Reviewing the reports irregularly</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Accordingly modified standard formats exist for record keeping &amp; reporting</li> <li>- Reviewing the reports regularly</li> </ul>	<p>Interviews with Project Coordinator</p> <p>Review Documents: Record keeping formats Reporting forms Various reports (semi-annual and annual)</p>	<p>1. How do you keep records on programs and activities?</p>
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## MANAGEMENT COMPONENT: MISSION AND PLANS

End points	Specific Indicators	Sources	Key Questions
Objectives	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Objectives unclear and unrealistic</li> <li>- Less than 30% of objectives met</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Objectives clear but unrealistic</li> <li>- 30% to 60% objectives being met</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Objectives clear and realistic</li> <li>- 60% &gt; objectives being met</li> </ul>	<ul style="list-style-type: none"> <li>- Interview with Organizational leader and Project Coordinator</li> <li>- Documents to review: Constitution, Project Document,</li> </ul>	<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>- Not clearly defined</li> <li>- Less than 30% achievement of the target groups</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Clear but general</li> <li>- 30% to 60% achievement of the target groups</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Clear and specific target groups</li> <li>- 60% &gt; achievement of the target groups</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with Project Coordinator</li> <li>Review Documents: Annual Plan Monitoring Plan Reports (semiannual and annual)</li> </ul>	<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>

<p><b>Annual and Long term plans</b></p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Annual Plan exists for the projects</li> <li>- Plan prepared by one person</li> <li>- No monitoring plan in place</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Upto 2 years plan exists for the projects</li> <li>- Plan prepared by the help of expertise</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>- Long term (2 yrs +) plan exists for the NGO</li> <li>- Executive Committee involved in planning</li> <li>- Regular monitoring plan in place</li> </ul>	<p><b>Interview with Organization Leader and Project Coordinator</b></p> <p><b>Review Documents:</b></p> <p>Annual Plan Strategic Plan / Long term plan Monitoring Plan Monitoring Reports</p>	<ol style="list-style-type: none"> <li>1. Does the Project/NGO have annual/Long Term Plans?</li> <li>2. Who prepares the plans?</li> <li>3. Is there a system for monitoring Plan implementation?</li> </ol>
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## Management Component: Leadership

End points	Specific Indicators	Sources	Key Questions
Decision Making and Delegation	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Single Person makes major decisions</li> <li>- No delegation is there</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Executive Committee functions to make decisions</li> <li>- Limited delegation except financial mater authority</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- EC members and staff are involved in decision making</li> <li>- Full delegation is established</li> </ul>	<ul style="list-style-type: none"> <li>- Interview with Authorized Officer, Project Coordinator, NGO President</li> <li>- Documents to review: Executive Committee Meeting minutes, Staff meeting minutes, Minutes of other committees</li> </ul>	<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>- Two leaders have less than 3 years experience &amp; no formal training /workshop</li> <li>- Plan, budget, Project document prepared by CA</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Three leaders have 3 to 5 years experience &amp; at least one formal training /workshop on leadership or management</li> <li>- Plan, budget, Project Document prepared jointly by CA &amp; NGO</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- More than three leaders have more than 5 years experience and more than one formal training/workshop</li> <li>- Plan, budget, project document prepared by NGO itself</li> </ul>	<p>Interviews with Authorized Official and Project Coordinator</p> <p>Review Documents: Training /workshop Register Personnel Files Funding approvals for Training/ workshop</p>	<ol style="list-style-type: none"> <li>1. How long is Exec. Dir. working?</li> <li>2. What training/ workshop has Exec. Dir. received in relation to current job?</li> <li>3. What is the Project Document development process?</li> </ol>

<p><b>Operational efficiency</b></p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Priorities unclear</li> <li>- No new ideas</li> <li>- No line item budget</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Priorities established for the program only</li> <li>- New ideas initiated for the projects</li> <li>- Line item budget exists</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Priorities also established for individual program activities</li> <li>- New ideas initiated for the NGO</li> <li>- Line item budget exists having budgetary control</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>
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MANAGEMENT COMPONENT: COMMUNITY PARTICIPATION

End points	Specific Indicators	Sources	Key Questions
<p>Membership</p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Executive Committee members are primarily family, and relatives</li> <li>- Low attendance quorum or less in meetings and meetings are held irregularly</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Members begin to include local community people</li> <li>- Attendance increases 50% + 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>- 2/3 of members attend meetings and meetings are held as per constitution</li> </ul>	<ul style="list-style-type: none"> <li>- Interview with Organizational leader and Project Coordinator</li> <li>- Documents to review: Constitution, Membership list, Meeting minutes</li> </ul>	<ol style="list-style-type: none"> <li>1. Who are the members of the NGO/Executive Committee?</li> <li>2. Do general members involve in planning and decision making?</li> <li>3. How frequently are meetings held?</li> </ol>

<p><b>Contributions</b></p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Less than 30% subscribes regularly</li> <li>- No donation receives</li> <li>- &lt; 10% of target group pays for services</li> <li>- No collaborative activity</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- 30% - 60% subscribe regularly</li> <li>- Donations in kind received; eg. office, equipment etc.</li> <li>- 10%-50% of target group pay for services</li> <li>- Collaborative activity begins</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- 60% &gt; subscribe regularly</li> <li>- Land/cash donations and income generated from that received</li> <li>- 50% &gt; of target group pay for services</li> <li>- More than three collaborative activities functioning</li> </ul>	<p><b>Interviews with Project Coordinator</b></p> <p><b>Review Documents:</b>  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>
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MANAGEMENT COMPONENT: FINANCE

End points	Specific Indicators	Sources	Key Questions
<p>Source of Funds</p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Single source of Funds/Donor</li> <li>- Informal office space arrangement</li> <li>- No plan for revenue generation activities</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>- Planning for revenue generation activities</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- At least 10% of funds from non donor sources</li> <li>- Owns office space</li> <li>- Have started revenue generation activities</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 H/H card 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>
<p>Financial Management</p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Maintains only cash book</li> <li>- Audit report does not exist</li> <li>- No Financial reports produced</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Maintains both cash book and ledgers</li> <li>- Audit identifies a few major problems</li> <li>- Produce financial reports not regularly</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Maintains standard chart of accounts (coding system)</li> <li>- Audit identifies minor problems</li> <li>- Produce financial reports regularly</li> </ul>	<p>Interviews with Project Coordinator</p> <p>Review Documents: Financial Records Audit Reports Fund raising reports</p>	<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>

MANAGEMENT COMPONENT: HUMAN RESOURCES

End points	Specific Indicators	Sources	Key Questions
<p><b>Staff Training and Development</b></p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- 30% or less of paid 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>- Up to &lt;60% of staff is trained</li> <li>- Staff development plan exists but not based on needs</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- 60% &gt; of staff is trained</li> <li>- Staff development is based on needs</li> </ul>	<ul style="list-style-type: none"> <li>- Interview with Project Coordinator,</li> <li>- Documents to review:                      Training Plan                      Training register and budget                      Training Needs Assessment Report</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>
<p><b>Staff Supervision</b></p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- Supervision is conducted without any plan</li> <li>- No supervisory checklist followed</li> <li>- Cannot mention what is covered during supervision</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Supervisory plan in place but not followed</li> <li>- Checklist available but not followed consistently</li> <li>- Mainly performance related supervision made</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Supervisory plan in place and followed.</li> <li>- Standard checklist in place and followed consistently.</li> <li>- Identify and solve personnel and performance problems during supervision.</li> </ul>	<p>Interviews with Project Coordinator</p> <p>Review Documents:                      Work Plan                      Movement Register                      Spot Check Book</p>	<ol style="list-style-type: none"> <li>1. How do you supervise your staff/program?</li> </ol>

<p><b>Job Descriptions</b></p>	<p><b>Launch</b></p> <ul style="list-style-type: none"> <li>- No written Job Description exists</li> <li>- Employees can state a few tasks but do not know about the existence of Job Descriptions</li> </ul> <p><b>Growth</b></p> <ul style="list-style-type: none"> <li>- Job Descriptions exist, but poorly defined, overlaps</li> <li>- Employees know about the existence of Job Descriptions but cannot state them clearly</li> </ul> <p><b>Mature</b></p> <ul style="list-style-type: none"> <li>- Job Descriptions exists, clearly defined with no overlapping and periodically revised</li> <li>- Employees can clearly state and have Job Descriptions personally</li> </ul>	<p><b>Interview with Organization Leader and Project Coordinator</b></p> <p><b>Review Documents: Job Descriptions</b></p>	<ol style="list-style-type: none"> <li>1. Do all staff have job descriptions?</li> <li>2. Are these job descriptions periodically reviewed?</li> <li>3. What are staff responsibilities?</li> </ol>
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# FPSTC Questionnaire for Management Development Assessment

**Identification:**

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

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

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

**General Background Information:**

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

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

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

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

\_\_\_\_\_

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

Registration: Year \_\_\_\_\_ No \_\_\_\_\_

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

Revisions of Constitution: Year \_\_\_\_\_

Other events: (any particular year important for the organization)

Event	Year
Award	

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

**End Point: Management Practices**

Interviewee: President/General Secretary & Authorized Official/ Project Coordinator

Interviewer:

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

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

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

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

Documents: NGO Organogram, Project Organogram

Remarks: Finding of the Documents, appropriate form, list

2. Is the Organogram reviewed and modified ? If yes please mention the need.

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

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

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

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

\_\_\_\_\_

(Write the mentioned needs)

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

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

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

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

Documents: Management manual, constitution & Accounting System, Division of Responsibilities, Deputization, Membership procedures -Reporting.

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

4. Does the Project/NGO follow the management manual consistently?

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

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

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

Documents: Management manual, Records/Reports, Workplan,  
Movement Register, Leave Register etc.

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

\_\_\_\_\_

(Whether they follow the manual properly or not)

5. Is the Executive Committee of NGO familiar with the Project Management manual?

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

6. Has the NGO followed any of the contents of the Project Management Manual?

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

Documents: Manual for other Activities

Remarks: Review of contents

\_\_\_\_\_

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

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

Documents: Constitution, Minutes of meeting

Remarks: (Provision for meetings)

8. How many meetings were held last one year?

Meetings	No. held	No. required
Project staff		
Executive Committee		
Advisory Committee		
General Membership		

Documents: Meeting minutes

End Point: MIS

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

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

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

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

Documents: Standard Forms \_\_\_\_\_

Remarks: (Performance, Activities) \_\_\_\_\_

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10. Does the Project/NGO modify the record keeping or reporting formats accordingly ?

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

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

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

Documents : Past & Present standard formats

Remarks : (When & why modified ?)

11. Are the reports reviewed during Executive Committee meetings ?

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

Documents: Meeting Minutes \_\_\_\_\_

Remarks: (Agenda, Resolution) \_\_\_\_\_

\_\_\_\_\_

12. How frequently are the reports reviewed ? Is there any system of reviewing ? Please mention.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Documents: Management Manual, Project Documents, Meeting minutes.

# Management Component: Mission and Plans

Interviewee: NGO President/General Secretary and PC

Interviewer:

End Point: Objectives

13. What is the goal of the NGO ?

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Document: Project documents, constitution \_\_\_\_\_

Remarks: Compare with project document, constitution \_\_\_\_\_

14. What are the projects/programs you are carrying out to achieve the goal ?

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

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

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

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

(Whether the objectives are clear, realistic)

15. What are the objectives ?

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

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

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

16. Does each project/program have an action plan ?

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

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

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

17. What no. and % of the objectives have been initiated ?

No. Objectives	% Initiated

Documents: Project document, constitution \_\_\_\_\_

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

(Mention the percentage met)

**End Point: Target Groups**

18. What are the Project's/NGO's specific Target Groups (Segment of the population)?

FP Project	Other Project	NGO

Documents: Project documents \_\_\_\_\_

Remarks : Emphasis in document \_\_\_\_\_

19. How is/was the target group identified?

How	FP Project	Other Project	NGO
NGO's interest			
Donor's interest			

20. What percentage of the target groups have been achieved ?

Projects	Target Group	% Achieved	Remarks

Documents : Project documents, reports.

**End Point: Annual and Long term Plans**

21. Does the Project/NGO have an Annual/Long term Plan ?

Institution	Annual	Plan for 2 years	Long term Plan (2yr +)
FP Project			
Other Project			
NGO			

Documents: NGO plan, plans for other programs, project document

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

Years : \_\_\_\_\_

22. Who are involved in preparing annual/long term plan ?

Institution	Within the Organization Particular person	Outside Expert	EC meetings held about the plan	Others
FP Project				
Other Project				
NGO				

Documents : Plans, Project documents, Meeting minutes.

23. Has the NGO adopted any of the techniques from the FP \_\_\_\_\_ Project/Other Project in formulating plans?

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

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

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

Documents: NGO plan, plans for other programs \_\_\_\_\_

Remarks: (Compare parts of the plan) \_\_\_\_\_

24. What activities do the NGO EC members undertake to monitor the Implementation of its Program?

Activities	Monitoring without any Plan	Plan exists, Irregularly monitoring	Plan exists, Regularly monitoring
Make field visits			
Review reports			
Follow up of recommendation			
Other			

Documents : Monitoring Plan, Reports, Meeting minutes.

## Management Component: Leadership

Interviewee: President/General Secretary & PC/FS

Interviewer:

End Point : Decision Making and Delegation

25. Who makes major decisions in the Project/NGO ?

Major decisions	FP Project	Other Project	NGO
On Objectives			
On Activities			
On Budget and financial matters			
On Hiring/Firing			
Others			

Documents: Management Manual, Constitution, Meeting minutes

Remarks: Whether all decisions come from same person or not

26. Does the NGO Executive Comm. regularly review and give consent before the on the decisions are taken ?

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

Documents: Meeting minutes

Remarks: Agenda & resolution should be seen.

27. If any problems arise, how are they resolved ?

Problems	Solved by Top Executive	Reviewed in EC/Staff meeting	Being appointed a Personnel/Committee to solve the matter	Discussed on AGM	Other
Programmatic					
Financial					
Administrative					
Other					

Documents: Meeting minutes, Decision Files, Sub-Committee reports.

28. When the Top Executive is away, who makes decisions ?

FP Project	Other Project	NGO
Program Activities		
Financial		
Personnel		

Documents: Authorization letter, Management manual, Constitution

Remarks : Is there any defined process ?

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**End Point: Experience and Competence**

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

Position in NGO	Years	Position in Project	Years
President		Authorized Official	
Vice President		Project Coordinator	
General Secretary		Senior Supervisor	
Treasurer		Office Manager	

Documents : Member Form, Personnel File

30. How many trainings the NGO members and project staff received?

Position in NGO	Type of Training/workshop received		Date of last training / workshop received	Position in project	Type of Training/workshop received		Date of last training/workshop received
	Management	Other training related to NGO activities			Management	Other training related to NGO activities	

President				A.O.			
Vice President				P.C.			
General Secretary				Senior Supervisor			
Treasurer				Office Manager			

Documents: Training Register, Training File.

31. Who is involved in preparing project documents and at what stages ?

Stage of PD Preparation	Persons involved from		
	CA	CA & NGO	NGO
Idea Generation			
Writing			
Review			
Finalization			

Documents: Meeting minutes, Document Files.

**End Point: Operational Efficiency**

32. Do you prioritize the tasks/activities of the Project/NGO ?  
If yes, please mention:

FP Project		Other Project		NGO	
Activities	Purpose	Activities	Purpose	Activities	Purpose

Documents: Project Documents, Reports.

33. How the priorities are established ?

Institution	Community needs	NGO's plans	Donor's Suggestions	Other
FP Project				
Other Project				
NGO				

Documents: Documents about priority, meeting minutes

Remarks:

\_\_\_\_\_

34. Does the Project . NGO recently have any new ideas in the last calendar Year? Please mention :

Purpose	FP Project		Other Project		NGO	
	No new ideas	New Idea generated	No new ideas	New idea generated	No new ideas	New idea generated
Quality						
Expansion						
Sustainability						

Documents: To look at the plan for new ideas, project documents meeting minutes.

Remarks : What are the new ideas?

\_\_\_\_\_

35. Does the NGO prepare a budget for all its activities ?

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

Documents: Budget

Remarks : Check the line item

\_\_\_\_\_

36. Is the budget prepared by line item ?

FP Project : Yes \_\_\_\_\_ No \_\_\_\_\_  
 Other Project : Yes \_\_\_\_\_ No \_\_\_\_\_  
 NGO : Yes \_\_\_\_\_ No \_\_\_\_\_

Documents: Budget

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

\_\_\_\_\_

(Check the line item and see whether there is any control of expenditures).

### Management Component: Community Participation

Interviewee: President/General Secretary and Project Coordinator

Interviewer:

End Point: Membership

37. Who are the EC members of the NGO ?

Member	No	%
Family members, relatives		
Influential members of the community		
Other members		

Documents: Membership list

Remarks : Relationship

\_\_\_\_\_

38. How many general members do you have?

\_\_\_\_\_

39. Do general members participate in Project/NGO activities ?

Decision making	Planning	Reviewing	Implementation	Others

Documents: Meeting Minutes

Remarks : The example they cited.

\_\_\_\_\_

40. What is the % of attendance of members at meetings ?

Meeting	No	%
EC meeting		
General meeting		
Other meeting		

Documents: Last AGM meeting minutes, EC meeting minutes

End Point: Contribution

41. How many members subscribe according to constitution ?

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Documents: Subscription list, Receipt book, Cash book.

Remarks: Total amount and number of subscriber.

---

42. What type of contributions do the Project/NGO receive from the community ?

Source of Funds	FP Project	Other Project	NGO
Subscription			
In kind donations			
Cash Donations			
Services Fees			

Documents: Stock book, Financial report, Cash book, Ledger book

Remarks : Cite the example, kind of donation, indicate amount if known.

---

43. What percentage of clients pay for services ?

	Services	Total No.of clients availing services	No.of clients paying for services	Remarks
FP Project	FP			
	MCH			
Other Project				

Documents: Service charge register, financial report  
(Check last Field Workers cycle performance)

44. What Government agencies or other NGOs do the Project/NGO collaborate with in order to attain QES (ex MOH, MSW, MOE, MOA, Satellite clinics, referrals etc).

Agency/NGO	Type of activity	Purpose

Documents: Referral books, Reports, Register

Remarks :

## Management Component: Finance

Interviewee: Treasurer and PC/Office Assistant

Interviewer:

End Point: Source of Funds

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

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

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

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

Documents: Grant Award Letter, Financial Reports

Remarks : Are the sources spelled out, detail of different sources and amounts.

---

46. What percentage of the current budget FP Project/Other projects are covered by NGO funds ?

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

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

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

Documents: Budget, Financial report, service charge

---

47. What type of office does the Project/NGO have ?

Institution	Informal office space	Rented office space	Own office space
FP Project			
Other Project			
NGO			

48. What assets does the NGO have ?

Building \_\_\_\_\_

Hand \_\_\_\_\_

Vehicle \_\_\_\_\_

Equipment \_\_\_\_\_

Other \_\_\_\_\_

Document : Audit Report.

49. Is there any revenue generation activities in the Project/NGO ?

Institution	Not planning	Planning	Started
FP Project			
Other project			
NGO			

**End Point : Financial Management**

50. How do you maintain your accounts ?

Way of maintaining accounts	FP project	Other project	NGO
Maintains only cash book			
Maintains both cash book and ledger book			
Maintains standard chart of accounts			
Produces quarterly/semi-annual/annual report			

Documents :

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51. Does the Project/NGO carry out annual external audit ?

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

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

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

Documents: Recent audit reports

---

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

Institution	Minor problems	Major problems
FP Project		
Other Project		
NGO		

Documents: Audit reports

Remarks: Errors (minor), fraud, false implication embezzlement (major)

---

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

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

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

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

Documents: Last 2 audit reports

Remarks : Status of implementation of audit recommendations.

---

# Management Component: Human Resources

Interviewee: President/General Secretary and Project Coordinator

Interviewer:

End Point: Staff Training and Development

54. How many of the Project/NGO staff are trained?

Staff category	FP Project	Other project	NGO
Management staff			
Field staff			
EC members			

Documents: Training Register, Training File

Remarks : Percentage of trained staff.

---

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

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

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

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

Documents: Training plan

Remarks : Do this identify particular people ?

---

56. Is there any procedure for the training need assessment of staff ?

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

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

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

Documents : Meeting minutes, Need Assessment Report.

57. How the selection for training made ?

	FP project	Other project	NGO
As staff requests			
Project's need assessment			
NGO's need assessment			
Donor's need assessment			
Others			

Documents: Training Assessment Report, Training plan meeting minutes.

Remarks : Do they have the purpose for training ?

---

**End Point: Staff supervision**

58. Do all the staffs know his/her supervisor ?

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

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

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

Documents: Management Manual, Project Document, Constitution

Remarks : Is everyone supervised clearly mentioned?

---

59. How do you supervise the staff/program ?

Institution	No plan	Plan in place but irregularly followed	According to plan
FP Project			
Other project			
NGO			

Documents : Supervisory Plan, Report.

60. Does the supervisor use a standard checklist during their supervision ?

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

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

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

Documents: Checklists (Performance, record keeping, attitude & tasks)

Remarks : (Whether they started using checklist )

---

61. What is covered during a supervision ?

Institution	Performance	Problems		Training needs	Other
		Program	Personal		
FP Project					
Other project					
NGO					

Documents: Visit Reports

Remarks : Does the report contain suggestions/recommendations.

---

62. Does the NGO EC review supervisory reports from the project ?

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

Documents: Meeting Minutes

Remarks: Agenda, Resolution

---

End Point: Job Description

63. Do all the Project/NGO staff have a clearly defined job description ?

Institution	Field staff	Management staff	Executive Committee member
FP Project			
Other project			
NGO			

Documents: Management manual, Constitution, Job description.

Remarks : Written job description present, personally the staff have job descriptions.

---

64. When was the last time that project or NGO Job Descriptions reviewed or revised ? For what reasons ?

Documents: Written Job Description, Manual

Remarks : Date of review

---

65. Can you mention your Job Descriptions ?

(At least one staff should be interviewed from each category and write whether they can state clearly or not)

Institution	Field	Management staff	EC members
FP Project			
Other project			
NGO			

Documents : Job Descriptions

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

---

(Do all the staff members have personal Job Descriptions? )

**FPSTC**

**DATA TABULATION FORM**

<b>Management Component</b>	<b>End point</b>	<b>Subpoints</b>	<b>FP project</b>	<b>Other FP project</b>	<b>NGO</b>	<b>Remarks (Documents not found or any special information)</b>
<b>Organizational Structure and Lines of Communication</b>	<b>Management and Administrative Practice</b>	<b>Organogram</b>  Supported Q.No. 1,2				
		<b>Manual</b>  Supported Q.No. 3,4,5,6				
		<b>Meetings</b>  Supported Q.No. 7,8				
	<b>MIS</b>	<b>Record keeping (standard formats)</b>  Supported Q.No. 9,10				
		<b>Reviewing procedure (analysis)</b>  Supported Q.No. 11,12				

<b>Mission and Plans</b>	<b>Objectives</b>	How it is defined  Supported Q.No. 13,14,15,16			
		What % met  Supported Q.No. 17			
	<b>Target Groups</b>	How it is defined  Supported Q.No. 18,19			
		% achievement of target group  Supported Q.No. 20			
	<b>Annual and Long Term Plans</b>	Plan exists or not  Supported Q.No. 21			
		Who prepares plan  Supported Q.No. 22,23			
		Monitoring plan  Supported Q.No. 24			

<b>Leadership</b>	<b>Decision Making and Delegation</b>	<b>Decisions Supported Q.No. 25,26,27</b>			
		<b>Accountability Supported Q.No. 28</b>			
	<b>Experience and Competence</b>	<b>Experience Supported Q.No. 29,30</b>			
		<b>Competence Supported Q.No. 31</b>			
	<b>Operational Efficiency</b>	<b>Priorities Supported Q.No. 32,33</b>			
		<b>New idea Supported Q.No. 34</b>			
		<b>Budgeting Supported Q.No. 35,36</b>			

<b>Community Participation</b>	<b>Membership</b>	<b>Type</b> Supported Q.No. 37,38,39			
		<b>Attendance in EC meeting</b>  Supported Q.No. 40,8			
	<b>Contributions</b>	<b>Subscription</b>  Supported Q.No. 41			
		<b>Donation</b>  Supported Q.No. 42			
		<b>Pays for services</b> Q.No. 43			
		<b>Collaboration</b>  Supported Q.No. 44			

<b>Financial</b>	<b>Source of Funds</b>	<b>How many sources</b>  Supported Q.No. 45,46			
		<b>Office space</b>  Supported Q.No. 47,48			
		<b>Revenue Generation Activities</b>  Supported Q.No. 49			
	<b>Financial Management</b>	<b>Accounting system</b>  Supported Q.No. 50			
		<b>Audit and objection</b>  Supported Q.No. 51,52,53			
		<b>Financial report</b>  Supported Q.No. 50			

Human Resource	Staff Training and Development	Trained staff / personnel Supported Q.No. 54			
		Staff developmental plan Supported Q.No. 55,56,57			
	Staff Supervision	Procedures Supported Q.No. 58,59			
		Use of check list Supported Q.No. 60			
		Supervisory contents/ reports Supported Q.No. 61,62			
	Job Description	Existence Supported Q.No. 63,64			
		Statement by the staff Supported Q.No. 65			

## MDA ANALYSING TOOL

Management Component	End point	Milestone Indicator			Remarks
		Launch	Growth	Mature	
Organizational Structure and Lines of Communication	Management and Administrative Practice				
	MIS				
Mission and Plans	Objectives				
	Target Groups				
	Annual and Long Term Plans				
Leadership	Decision Making and Delegation				
	Experience and Competence				
	Operational Efficiency				
Community Participation	Membership				
	Contributions				
Financial	Source of Funds				
	Financial Management				
Human Resource	Staff Training and Development				
	Staff Supervision				
	Job Description				

**ANNEX V:  
THE ASIA FOUNDATION MANAGEMENT ASSESSMENT MATERIAL  
MANAGEMENT DEVELOPMENT ASSESSMENT INDICATORS,  
MANAGEMENT DEVELOPMENT ASSESSMENT INSTRUMENT,  
ANALYSIS AND TABULATION FORMS AND ORGANIZATIONAL PROFILE**

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MANAGEMENT DEVELOPMENT ASSESSMENT INDICATORS

<b>MISSION AND PLANS</b>
<b>COMMUNITY PARTICIPATION</b> Institutionalization of Community Participation  Community Contributions
<b>LEADERSHIP</b> Decision Making and Delegation  Experience and Competence
<b>HUMAN RESOURCE MANAGEMENT</b> Staff Training  Staff Supervision  Service Rules
<b>ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION</b> Job Responsibilities  Management Practices  Reporting and MIS
<b>FINANCE</b> Financial Management  Financial Stability

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MANAGEMENT DEVELOPMENT ASSESSMENT

COMPONENT: MISSION AND PLANS

LAUNCH STAGE.	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> No Mission statement or planning process formulated. Organizations objectives are unclear and unrealistic.</p>	<p><b>GENERAL INDICATOR:</b> Mission statement is in place. Need-based planning structure exists.</p>	<p><b>GENERAL INDICATOR:</b> Strategic and Annual Plans in place and followed and/or revised to meet changing needs.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Mission Statement does not exist.</li> <li>2. Organizations objectives unclear and unrealistic.</li> <li>3. No planning system exists within the organization. Organization operates using a needs-based decision process by EC or founding members.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Mission Statement exists but staff are unaware of it.</li> <li>2. Organizations objectives support the Mission Statement.</li> <li>3. Needs-based annual plan exists (e.g., donor-supported project proposals).</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. All employees and Executive Committee members are familiar with Mission Statement, which is used as a basis for long-range planning.</li> <li>2. Projects undertaken which support the organizations mission statement and objectives.</li> <li>3. The organization uses Strategic planning as a management tool.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Annual plan</li> <li>2. Strategic plan</li> <li>3. Constitution</li> <li>4. Minutes of EC meetings</li> <li>5. Objectives of Project Proposals</li> <li>6. Minutes of any planning meetings</li> <li>7. Mission Statement</li> </ol>		

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**MANAGEMENT DEVELOPMENT ASSESSMENT  
COMPONENT: COMMUNITY PARTICIPATION**

**SUBCOMPONENT: INSTITUTIONALIZATION OF COMMUNITY PARTICIPATION**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Executive Committee is non functional and General Membership is limited.</p>	<p><b>GENERAL INDICATOR:</b> Executive Committee is functioning but not according to the criteria specified in the constitution.</p>	<p><b>GENERAL INDICATOR:</b> General Members nominate and select Executive Committee and annual General meetings are held regularly.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. General membership does not increase more than 5% from first year organization was established.</li> <li>2. President and Secretary have not been changed more than twice since the organization was established.</li> <li>3. Minutes of Executive Committee meetings not prepared.</li> <li>4. Less than 60% of General members paid membership fee during the last year.</li> <li>5. More than 50% of Executive Committee consists primarily of family and relatives.</li> <li>6. General meetings (GM) are irregular and do not participate in nominating/selecting Executive Committee.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. General membership does not increase more than 6 - 10% from first year organization was established.</li> <li>2. Either the President or Secretary of the E.C. changed in the last two elections/selections by the General Members.</li> <li>3. Minutes of Executive Committee meetings are prepared but not consistently. Follow up action is not taken on decisions made.</li> <li>4. Less than 90% of General members paid membership fee during the last year.</li> <li>5. Less than 75% of Executive Committee consists primarily of family and relatives.</li> <li>6. GM held regularly in last two years and nomination/selection of the Executive Committee took place.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. General membership increases by more than 10% from first year organization was established.</li> <li>2. Either the President or Secretary of the E.C. changed in the last four elections/selections by the General Members.</li> <li>3. Minutes of Executive Committee meetings are prepared and follow up action is taken on decisions made.</li> <li>4. More than 90% of General members paid membership fee during the last year.</li> <li>5. Less than 20% of Executive Committee consists primarily of family and relatives.</li> <li>6. GM held regularly in last three years and nomination/selection of the Executive Committee took place.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Executive Committee minutes</li> <li>2. Constitution</li> <li>3. Membership lists</li> <li>4. Register of new members subscriptions</li> <li>5. Annual reports</li> <li>6. General Meeting minutes</li> <li>7. Attendance record of General Meeting</li> </ol>		

**THE ASIA FOUNDATION**

**MANAGEMENT DEVELOPMENT ASSESSMENT**

**COMPONENT: COMMUNITY PARTICIPATION**

**SUBCOMPONENT: COMMUNITY CONTRIBUTIONS**

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Subscriptions and in-kind contributions are provided by members only.</p>	<p><b>GENERAL INDICATOR:</b> Community provides limited cash and in-kind contributions and limited amounts of voluntary services.</p>	<p><b>GENERAL INDICATOR:</b> Community generates sufficient cash and in-kind donations for purchase of capital assets such as land, building, equipment, etc. and provides continuous voluntary service for organizational activities.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>Members subscription is only source of non-project funds.</li> <li>No voluntary activity takes place.</li> <li>Collaboration/coordination with less than five government agencies and other organizations.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>Members and community provide donations in cash.</li> <li>Community provides a limited amount of voluntary service for specific activities.</li> <li>Collaborate/coordinate from six to ten external groups (government and other organizations) on significant program activities.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>Some type of fixed assets are made through community donation.</li> <li>Community provides regular voluntary services on specific programs or activities for at least one year.</li> <li>Collaborate/coordinate with more than ten or more external groups (government and other organizations) on significant program activities.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>Service statistics</li> <li>Subscription lists</li> <li>Contribution reports</li> <li>Financial records</li> <li>Registers which records voluntary services</li> </ol>		

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MANAGEMENT DEVELOPMENT ASSESSMENT  
COMPONENT: LEADERSHIP

SUBCOMPONENT: DECISION MAKING AND DELEGATION

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Founding members take a leadership role in all aspects of organization. Minimum involvement of management and staff in decision making.</p>	<p><b>GENERAL INDICATOR:</b> Founding members involve managers in leadership of organization.</p>	<p><b>GENERAL INDICATOR:</b> Participatory leadership practiced with Executive Committee and Program Staff involved in decision making process.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Founder or Manager takes initiative for fund-raising.</li> <li>2. Founder member(s) takes decisions on programs and major problems without consulting management staff or Executive Committee.</li> <li>3. Founding members represents organization in all types of coordination meetings.</li> <li>4. Issues discussed in coordination meetings are not shared with Executive Committee and management staff.</li> <li>5. Organization starts less than three new initiatives without support from donors or other organizations.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Founders and project managers take initiatives for fund-raising.</li> <li>2. Founder member(s) and management staff take decisions on programs and major problems.</li> <li>3. Founding members and management staff participate in all types of coordination meetings.</li> <li>4. Issues discussed in Coordination meetings are shared with Executive Committee and management staff who take action only in areas which are required by donor or government.</li> <li>5. Organization starts less than five new initiatives without support from donors or other organizations.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Executive Committee and staff participate in fund-raising activities.</li> <li>2. Founder member(s), management staff and Executive Committee take decisions on programs and major problems.</li> <li>3. Coordination meetings attended by Specialty and job descriptions of staff and subcommittees.</li> <li>4. Issues discussed in Coordination meetings are shared with Executive Committee, management staff, and subcommittees, and they are take action on the basis of organizational needs.</li> <li>5. Organization starts more than five new initiatives without support from donors or other organizations.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Executive Committee minutes</li> <li>2. Board meeting minutes</li> <li>3. Correspondence</li> <li>4. Minutes of other committees established</li> <li>5. List of existing committees</li> <li>6. Minutes of various meetings</li> <li>7. Documents on the action taken at Coordination meetings</li> </ol>		

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MANAGEMENT DEVELOPMENT ASSESSMENT

COMPONENT: LEADERSHIP

SUBCOMPONENT: LEADERSHIP EXPERIENCE AND COMPETENCE

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Limited program knowledge and experience</p>	<p><b>GENERAL INDICATOR:</b> Organization develops more independent planning and takes on more responsibilities</p>	<p><b>GENERAL INDICATOR:</b> Organization takes responsibility for project documentation and annual plans and budgets</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organization follows existing policies and plans established by CA.</li> <li>2. Project proposal and budget prepared by donor only.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organization brings in modifications and innovations in policies and implements them.</li> <li>2. Project proposal and budget prepared jointly by CA and NGO.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organization leaders (E.C. and managers) are experienced, has vision to anticipate future needs of the organization, and plans accordingly based on strategic plans.</li> <li>2. Project proposal and budget written by organization with assistance from CA.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Existence of policies, including manuals, services rules, sustainability plans, etc.</li> <li>2. Project Proposals</li> <li>3. C.V.'s of Organization leader</li> <li>4. Records on policy changes made</li> </ol>		

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

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.</p>	<p><b>GENERAL INDICATOR:</b>  Most of staff is trained, primarily through training plans from external support.</p>	<p><b>GENERAL INDICATOR:</b>  All staff receive training as required to perform their job. Long-term staff training 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. Staff training plan does not exist.</li> <li>3. Executive Committee has no formal training.</li> <li>4. No in-service or on-the-job training takes place.</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. Staff training plan depend on donor requirements and support.</li> <li>3. Executive Committee has received training to support donor-funded projects.</li> <li>4. In-service and refresher training takes place, as recommended and funded by donor.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. 100% of staff is trained.</li> <li>2. Organizations training needs assessed and followed.</li> <li>3. Executive Committee receives training on organizational development and strategic planning.</li> <li>4. In-service and on-the-job training provided on the basis of organizations training needs.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Training Plan</li> <li>2. Correspondence related to training</li> <li>3. Personnel files</li> <li>4. Training Update reports</li> <li>5. Records of in-service training</li> </ol>		

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MANAGEMENT DEVELOPMENT ASSESSMENT

COMPONENT: HUMAN RESOURCE MANAGEMENT

SUBCOMPONENT: STAFF SUPERVISION

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Supervisory system does not exist.</p>	<p><b>GENERAL INDICATOR:</b> Supervisory system exists but not fully functional.</p>	<p><b>GENERAL INDICATOR:</b> Supervisory system provides employees and management with feedback on performance.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. No workplans prepared</li> <li>2. No records maintained by supervisors (logbook).</li> <li>3. No formal monitoring system exists.</li> <li>4. Staff performance reviews do not exist.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Workplans exist for donor-supported project staff only.</li> <li>2. Records maintained by supervisors according to donor requirements and feedback is given to staff verbally and on the job.</li> <li>3. Monitoring is done without a schedule and findings are not recorded. Follow up action taken only for donor-supported projects.</li> <li>4. Staff performance review done by manager without input from the field workers immediate supervisor. Reviews are not shared with staff, as may be required by donor.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Workplans exist for all staff in the organization.</li> <li>2. Feedback provided to staff by Supervisor based on records maintained from written or on-the-job comments, in-service training, and meetings.</li> <li>3. Schedule-based monitoring exists, findings recorded and action taken as appropriate for all staff.</li> <li>4. Staff performance reviewed jointly by Executive Committee, managers and immediate supervisors and shared with all staff.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Monitoring reports</li> <li>2. Monitoring schedule</li> <li>3. Visit book/logbook</li> <li>4. Supervisory reports</li> <li>5. Personnel files</li> <li>6. Workplans</li> </ol>		

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MANAGEMENT DEVELOPMENT ASSESSMENT

COMPONENT: HUMAN RESOURCE MANAGEMENT

SUBCOMPONENT: SERVICE RULES

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<b>GENERAL INDICATOR:</b> No written Service Rules in place.	<b>GENERAL INDICATOR:</b> Service Rules are in place but are not consistently followed.	<b>GENERAL INDICATOR:</b> Service Rules distributed and consistently followed.
<b>SPECIFIC INDICATORS:</b> 1. No Service Rules exist.  2. No individual Personnel files exist.	<b>SPECIFIC INDICATORS:</b> 1. Service Rules exist but are not shared with staff and are not implemented consistently.  2. Individual Personnel files exist but records are not maintained properly.	<b>SPECIFIC INDICATORS:</b> 1. Staff have a copy of Service Rules and Service Rules-related decisions are taken based on written policies.  2. Personnel files are complete and up to date.
<b>SOURCES:</b> 1. Written Service Rules 2. Minutes of EC meetings 3. Individual personnel files 5. Internal circular		

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MANAGEMENT DEVELOPMENT ASSESSMENT

COMPONENT: ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION

SUBCOMPONENT: JOB RESPONSIBILITIES

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b></p> <p>Job descriptions do not exist.</p>	<p><b>GENERAL INDICATOR:</b></p> <p>Job descriptions exist for all staff but relationship between positions is not well defined.</p>	<p><b>GENERAL INDICATOR:</b></p> <p>Job descriptions are part of an overall personnel management system.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. No written job descriptions exist</li> <li>2. Staff are unclear who their supervisors are.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Job descriptions exist for donor-supported staff only.</li> <li>2. Job descriptions state supervisors but these lines of communication are not followed.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Clear job descriptions are in place and up to date for all NGO staff.</li> <li>2. All staff communicate with their immediate supervisors for clarification of job responsibilities.</li> </ol>
<p><b>SOURCES:</b></p> <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
<p><b>GENERAL INDICATOR:</b></p> <p>Management practices and systems are not documented.</p>	<p><b>GENERAL INDICATOR:</b></p> <p>Management practices and systems developed, documented and followed only for donor-supported projects.</p>	<p><b>GENERAL INDICATOR:</b></p> <p>Management systems and practices are reviewed by all staff and the system is revised to respond to a changing environment for all organizational activities.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organogram not in place.</li> <li>2. Absence of a general operations manual for the organization.</li> <li>3. No clear understanding or written documentation exists which specifies to whom the Chief Executive is accountable.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organogram in place and facilitates project implementation.</li> <li>2. Guidelines for general operations developed and followed as required by donors.</li> <li>3. Organogram specifies that Chief Executive is accountable to Executive Committee for implementation of activities but performance not reviewed by Executive Committee.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organogram in place and facilitates organization as a whole.</li> <li>2. General operating manual updated on a regular basis for all organizational activities and followed.</li> <li>3. Chief Executive is accountable to Executive Committee for successful achievement of organization's strategic plan.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Organogram</li> <li>2. Service Rules</li> <li>3. Project Operation manuals (provided by donors)</li> <li>4. Organizational activities operation manuals</li> <li>5. Organizational financial management manuals</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> No reports are prepared on organizational activities.	<b>GENERAL INDICATOR:</b> Reports prepared according to instructions provided by donor agency/government.	<b>GENERAL INDICATOR:</b> Reports for the Organization are prepared on the basis of organizational need.
<b>SPECIFIC INDICATORS:</b> 1. No reports are prepared on organizational activities.  2. Minimal information is shared in writing or verbally.	<b>SPECIFIC INDICATORS:</b> 1. Reports prepared as required by donors and government for organization activities.  2. Reports shared with staff only, no action taken.	<b>SPECIFIC INDICATORS:</b> 1. Reports prepared on organizational activities including donor and government requirements.  2. Reports shared with staff and Executive Committee and action taken.
<b>SOURCES:</b> 1. Reporting forms 2. Activity reports 3. Donor manuals 4. Organizational manuals 5. Staff meeting minutes 6. Executive Committee minutes		

THE ASIA FOUNDATION

MANAGEMENT DEVELOPMENT ASSESSMENT

COMPONENT: FINANCE

SUBCOMPONENT: FINANCIAL MANAGEMENT

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Financial record keeping for the organization is not in place.</p>	<p><b>GENERAL INDICATOR:</b> Financial record keeping for donor funds follows the instructions of the funding source</p>	<p><b>GENERAL INDICATOR:</b> Financial record keeping provides feedback to the Executive Committee and General members, in addition to meeting donor requirements</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organization does not maintain complete financial records or prepare reports.</li> <li>2. Organization has had an audit performed by an external company only once.</li> <li>3. Family Planning audit identifies more than ten problems.</li> <li>4. Fund-raising activities not recorded in accounting records for non-donor activities.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Project-wise financial records maintained and reports prepared as required by donor.</li> <li>2. Audit for organization projects takes place every two years.</li> <li>3. Family Planning audit identifies less than ten problems.</li> <li>4. Very minimum (some notes) Financial records exist for fund-raising activities for non donor-related.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Organization maintains its own financial records/reports/balance sheet, incorporating project budgets.</li> <li>2. Organizational audit takes place annually.</li> <li>3. Family Planning audit identifies less than three problems.</li> <li>4. Financial records (cashbook, ledger and vouchers on fund-raising activities exist for all organizational activities, including non donor-supported projects.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Voucher, cash, ledger books for organization</li> <li>2. Voucher, cash, ledger books for projects</li> <li>3. Audit reports for organization</li> <li>4. Audit reports for projects</li> <li>5. Financial reports on organizational activities and projects</li> <li>6. Annual reports</li> <li>7. EC meeting minutes related to financial management</li> <li>8. General meeting minutes related to financial management</li> </ol>		

THE ASIA FOUNDATION

MANAGEMENT DEVELOPMENT ASSESSMENT  
COMPONENT: FINANCE

SUBCOMPONENT: FINANCIAL STABILITY

LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
<p><b>GENERAL INDICATOR:</b> Dependent on one project/funding source for all activity</p>	<p><b>GENERAL INDICATOR:</b> Managing more than one project with separate funding sources. Organization implements a plan for generates income.</p>	<p><b>GENERAL INDICATOR:</b> Managing more than two projects 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 to the total family planning budget of the past year.</p>
<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Only one source of funds.</li> <li>2. Service charges make up less than 3% of the organizations income.</li> <li>3. No income generating activities exist.</li> <li>4. Organization shares costs for the family planning projects.</li> <li>5. No financial sustainability plan exists.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. Two sources of funds exists.</li> <li>2. Service charges make up 3% - 10% of organizations income.</li> <li>3. Initiative taken for income generation but income received is not sufficient to spend on organizational activities.</li> <li>4. NGO share less than 5% of costs of family planning projects.</li> <li>5. Financial sustainability plan exists but is not consistently followed.</li> </ol>	<p><b>SPECIFIC INDICATORS:</b></p> <ol style="list-style-type: none"> <li>1. More than two sources of funds exist.</li> <li>2. Service charges make up more than 10% of organizations income.</li> <li>3. Income generating activities able to support a limited amount of organizational expenditure.</li> <li>4. NGO shares more than 5% of cost for family planning projects.</li> <li>5. Financial sustainability plan followed.</li> </ol>
<p><b>SOURCES:</b></p> <ol style="list-style-type: none"> <li>1. Project proposals</li> <li>2. Registers on subscriptions and donations</li> <li>3. Register on service charges</li> <li>4. Budgets</li> <li>5. Documents on income generating activities</li> <li>6. Financial sustainability plans</li> <li>7. Correspondence/Reports on: other donor funding fund-raising service charges income generation</li> </ol>		

THE ASIA FOUNDATION  
MANAGEMENT DEVELOPMENT ASSESSMENT

VERSION 5.0  
13 OCTOBER '93

NAME OF NGO:

DATE:

TAF PROGRAM STAFF CONDUCTING ASSESSMENT:

Management Development Assessments are conducted with the Director of the Organization, management staff such as the Accountant, at least two Executive Committee members, and if possible, two field workers.

NGO STAFF INTERVIEWED

DIRECTOR AND MANAGEMENT STAFF

NAME	DESIGNATION
1.	
2.	
3.	

EXECUTIVE COMMITTEE

NAME
1.
2.

FIELD STAFF

NAME
1.
2.

**ORGANIZATIONAL PROFILE**

Year established: \_\_\_\_\_

Founding Member: \_\_\_\_\_

Founding Members current position in the organization: \_\_\_\_\_

**TYPE OF ORGANIZATION:**

- MULTI-SERVICE NATIONAL
- MULTI-SERVICE LOCAL
- SINGLE SERVICE NATIONAL
- SINGLE SERVICE LOCAL

**FUNDING SOURCES AND TOTAL PROJECT BUDGETS:**

Name of Funding Source	Budget
_____	_____
_____	_____
_____	_____

**REVIEW OF MOST RECENT MONITORING REPORT**

Date of last monitoring visit: \_\_\_\_\_

Components of monitoring report to be reviewed:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 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.

### Definition of Terms Used in this Instrument

#### Annual Plan:

A document that describes what the organization will do over the period of one year and links together the work plans of all program components in support of the organization's mission and objectives.

#### Coordination Meetings:

Meetings with donors, various government agencies and other organizations which the NGO works with in support of its mission and objectives.

#### Cost Savings:

#### Cost Sharing:

#### Financial Sustainability Plan:

A plan prepared by an organization which specifies financial targets and the strategies for reaching those targets within a specific amount of time.

#### Formal Monitoring:

Review of all types of organizational and project activities. For example: field performance, financial management, Executive Committee involvement, etc.

#### Goal:

The proposed long-range benefits of the program for the selected population, defined in general terms.

#### Major Problems:

When an NGO faces an unexpected crisis which is outside normal operations and which no operating procedure exists.

#### Management Staff:

Executive Director, Project Director, Coordinators, Accounts staff

#### Mission:

A brief general statement of the type of organization, its main purpose, and its values.

#### Objectives:

The anticipated results or outcomes of a program, representing changes in the knowledge, attitudes and behavior of the program's clients, described in measurable terms and usually indicating a specific period of time during which these results will be achieved.

#### Organization Expense Budget:

**Organizational Structure:**

The formal system of working relationships within an organization, showing the reporting relationships between different functions and positions of the management and staff. This structure is often represented in the form of a diagram or chart.

**Planning:**

The continuing process of analyzing program data, making decisions and formulating plans for action in the future, aimed at achieving program goals.

**Project Proposal prepared by Donor and NGO:**

When a Donor takes primary responsibility for preparation of the proposal and the NGO provides data, information and comments.

**Project Proposal prepared by NGO with assistance from donor:**

When the NGO takes primary responsibility for the preparation of the proposal and the donor reviews and edits it.

**Strategic Plan:**

Long-range planning, covering a period of three to five years, that includes setting goals, strategies, and objectives for your program.

**Target Population:**

The specific population intended as beneficiaries of a program. This will be either all or a subset of potential users such as adolescents, pregnant women, rural residents, or the residents of a particular geographic area.

**Volunteer Program:**

**Work Plan:**

A document developed by the manager and the staff, covering a specified period of time, which lists all planned activities, the date by which they will be accomplished, the resources that they will require, and the people responsible for carrying them out.

**Work Planning (also known as Operational Planning):**

A process through which an organization decides what activities will be conducted, which department or staff will carry them out, the resources that will be needed, and the time frame for completing the activities. Work planning usually covers a period of a year or less.

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

**COMPONENT:                    MISSION AND PLANS**

1. Is there a documented Mission Statement for the Organization?  
(If yes, the TAF must review it)

Yes                     No

If yes, record it here: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

NOTE TO TAF PO: In this instance, an appropriate mission statement is considered to be a statement which specifies the type of organization it is, its purpose, and its values. The general statement of purpose often found in an organization's constitution is not appropriate as a mission statement. An example of a mission statement for a single service local organization might be:

"To increase the availability and use of high-quality, voluntary reproductive health and family planning services in the capital city and surrounding neighborhoods."

2. If a Mission Statement exists, ask the following people if they can summarize it. Does their response generally agree with the statement?

Executive Committee	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Management Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

3. Does the organization have objectives which are documented?  
(If yes, the TAF PO must review the written documents)

Yes                     No

If yes, do the objectives support the mission statement?

Yes                     No                     Not Applicable (N/A)

If yes, are the objectives clear and realistic?

Yes                     No

NOTE TO TAF PO: An organization may have appropriate objectives specified in the constitution, project proposal or other document without necessarily having a mission statement formulated. Objectives which are considered "clear" are simple, concise statements which state what an organization seeks to achieve within a program or project. They are measurable and may specify a time period for accomplishing the objective. Objectives are "realistic" if they can be achieved by the organization, given its human and financial resources and within the time period specified.



COMPONENT: COMMUNITY PARTICIPATION  
SUBCOMPONENT: INSTITUTIONALIZATION OF COMMUNITY PARTICIPATION

7. How many members does the organization have?

When established: \_\_\_\_\_

Currently: \_\_\_\_\_

Percentage increase/decrease: \_\_\_\_\_  
(TAF PO calculate upon  
return to TAF office)

8. How frequently has the President and the Secretary of the Executive Committee changed?

Neither has changed more than twice

At least one has changed in last three E.C.  
election/election meetings

At least one has changed in four three E.C.  
election/election meetings

9. Does the organization record the minutes of Executive Committee meetings?

Never

Sometimes

Always

10. Does the organization's management take follow up action on resolutions made at EC meetings?  
(If yes, the TAF PO should check minutes of meetings and any other relevant documentation)

Yes  No

Resolutions: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

11. How many of the General Members have paid their membership subscription in the past 12 months?

\_\_\_\_\_

TAF PO must calculate the proportion of paid-up members to the total members, based on the above:

\_\_\_\_\_



13. How many General Meetings are held each year?  
(TAF PO should review the Constitution)

Number per the constitution: \_\_\_\_\_

In the last two years: \_\_\_\_\_

In the last three years: \_\_\_\_\_

14. Were nominations/elections of the Executive Committee held at the last three General Meetings?  
(TAF PO must review the minutes of these meetings to obtain this information)

In last two years:  Yes  No

In last three years:  Yes  No

General comments on this section: \_\_\_\_\_

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**COMPONENT: COMMUNITY PARTICIPATION**  
**SUBCOMPONENT: COMMUNITY CONTRIBUTIONS**

15. Does the organization have community volunteers to help implement its activities?

Yes                       No

16. If yes, complete the following information:

A. Activities where volunteer activity has occurred only once:

Type of activity: \_\_\_\_\_

B. Activities where volunteer activity occurs whenever it is necessary:

Type of activity: \_\_\_\_\_

C. Activities where volunteer activity occurs for at least one year:

Type of activity: \_\_\_\_\_

17. What Government agencies or other NGOs does the Project/NGO collaborate with in order to maintain its objectives?

AGENCY/NGO	TYPE OF ACTIVITY

**COMPONENT: LEADERSHIP**  
**SUBCOMPONENT: DECISION MAKING AND DELEGATION**

18. Who takes initiatives for developing fund-raising activities?

- Founding member
- Manager
- Founding member and managers
- Executive Committee and staff
- Other  
Specify: \_\_\_\_\_

19. Complete the following table regarding how decisions are made:  
 (TAF PO should verify if possible by reviewing documents)

	Founding member	Manager	Program Staff	Executive Committee	Sub-committee
Staff hiring/firing					
Program Implementation					
Financial Management					
Major Procurement					
Staff Training					
Fundraising					

20. If a major problem or crisis happens, how are decisions made?

	Founding member	Manager	Program Staff	Executive Committee	Sub-committee
Programmatic					
Financial					
Administrative					
Other: (specify)					

21. Are staff with specific program or administrative functions (e.g. head of training) given responsibility for representing the organization in coordination meetings with other organizations?  
(TAF PO must obtain information for last six months)

Yes  No

22. If the founding member attends all external coordination meetings, is information shared with:

Management staff   
 Executive Committee   
 Subcommittees   
 Not shared

23. Is action taken within the organization on issues raised in the coordination meetings?

Yes  No

24. If yes, what type of action was taken?

Required by Donors/Government   
 On the basis of organizational need

25. Has the organization developed/designed any new initiatives such as pilot projects or innovative activities without any assistance from donors or other organizations?

No initiatives   
 Less than 3 initiatives   
 Less than 5 initiatives   
 More than 5 initiatives

General comments on this section: \_\_\_\_\_

**COMPONENT: LEADERSHIP**  
**SUBCOMPONENT: EXPERIENCE AND COMPETENCE**

26. Who prepared the following policies and plans?

	PREPARED BY:				CHANGED BY NGO
	NGO	DONOR	DONOR & NGO	NGO WITH REVIEW BY DONOR	
MANUALS					
SERVICE RULES					
PROJECT PROPOSAL					
SUSTAINABILITY PLAN					
OTHER:					
OTHER:					

27. If policies or plans require modification, what is the principal reason?

To fulfil strategic goals

Donor required

General comments on this section: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

28. How many staff does the organization have in each of the following categories and what level of training do they have (including the Family Planning project and other projects)?

<u>Category</u>	<u>Number of Staff</u>	<u>Number of Staff Trained</u>	<u>Percentage</u>
Managers			(calculate in TAF office)
Supervisors			
Field Workers			
Accounts staff			
Technical Staff			
Other: (specify)			
_____			
TOTAL:	_____	_____	

29. Does the organization have a training plan?  
(If yes, TAF PO must review it)

Yes       No

30. If yes, complete the table below by checking the appropriate boxes

TRAINING ITEM	DONOR REQUIRED	ORGANIZATIONAL INITIATIVE
Training Needs Assessed		
Training Plan		

31. Is the training plan followed?

(If available, TAF PO must review a summary of staff trained in last 12 months and compare with plan)

Yes  No

32. Has the Executive Committee ever received training in the following area?

Role of E.C. in organization  Yes  No  
 Donor-supported project mgmt  Yes  No  
 Strategic Planning  Yes  No  
 Financial Sustainability  Yes  No  
 Other: \_\_\_\_\_  Yes  No

33. Does the organization arrange in-service and on-the-job training for staff?

Yes, required by donor  
 Yes, required by NGO  
 No

General comments on this section: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**SUBCOMPONENT: STAFF SUPERVISION**

34. Are workplans prepared for staff of projects other than Family Planning?  
 (If yes, the TAF PO must review three and complete the table below)

Yes  No

STAFF	REQUIRED BY DONOR	INITIATED BY NGO
ED/PD		
DIRECTORS		
COORDINATORS		
MANAGERS		
PROGRAM STAFF		
ACCOUNTS STAFF		
SUPERVISORS		
FIELD WORKERS		
OTHER:		
OTHER:		
OTHER:		

35. Do Project Managers and Supervisors maintain visit/log book for projects other than Family Planning?  
 (If yes, the TAF PO must review one)

	DONOR REQUIRED	INITIATED BY NGO
YES		
NO		

36. How do staff receive feedback from Supervisors and Managers?  
(If written reports are given, the TAF PO must see one)

	FP Project	Project: _____
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"/>
In-Service training	<input type="checkbox"/>	<input type="checkbox"/>
No feedback given	<input type="checkbox"/>	<input type="checkbox"/>

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

37. Why was feedback system developed?

- Required by donor  
 Initiated by NGO

38. Does the organization have an annual staff performance review system for all projects and organizational activities?

	DONOR REQUIRED	INITIATED BY NGO
YES		
NO		

39. Who are involved in the performance review process?

STAFF	REVIEWING PERSONNEL			
	EXECUTIVE COMMITTEE	ED/PD	IMMEDIATE SUPERVISOR	NOT REVIEWED
ED/PD				
DIRECTORS				
COORDINATORS				
MANAGERS				
PROGRAM STAFF				
ACCOUNTS STAFF				
SUPERVISORS				
FIELD WORKERS				
OTHER:				

General comments on this sector: \_\_\_\_\_

**SUBCOMPONENT:      SERVICE RULES**

40. Do written Service Rules exist for the entire organization or for specific projects only?  
(If any exist for either, the TAF PO must review them)

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

41. Do all staff members have a copy of the Service Rules?

Yes       No

42. Are all staff-related decisions taken on the basis of the written service rules?  
(TAF PO must verify at least two cases and compare with service rules)

Yes       No

43. Are personnel files maintained for each employee?

Family planning project	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Other projects	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

If yes, the TAF PO must review the file system and record the contents of one file for each project/activity below:

	Included	Not included
Job Application	<input type="checkbox"/>	<input type="checkbox"/>
CV	<input type="checkbox"/>	<input type="checkbox"/>
Appointment letter	<input type="checkbox"/>	<input type="checkbox"/>
Joining letter	<input type="checkbox"/>	<input type="checkbox"/>
Leave status	<input type="checkbox"/>	<input type="checkbox"/>
Performance review	<input type="checkbox"/>	<input type="checkbox"/>

General comments on this section: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**COMPONENT: ORGANIZATIONAL STRUCTURE & LINES OF COMMUNICATION**  
**SUBCOMPONENT: JOB RESPONSIBILITY**

44. Has the organization prepared written job descriptions for:  
 (If yes, the TAF PO must examine two to three descriptions)

all staff?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
donor-support project staff only?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

45. Are job descriptions ever revised:

<input type="checkbox"/>	Based on performance review
<input type="checkbox"/>	To accommodate new tasks
<input type="checkbox"/>	As suggested by donor(s)
<input type="checkbox"/>	Routinely

46. Does the job description specify to whom the following staff are responsible?

Managers	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Accounting Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Technical Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisors	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Field Workers	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Others:	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

47. If yes, do immediate supervisors regularly follow the written policy by signing leave authorizations, letters, performance reports, workplan, etc. for the staff noted below?

(TAF PO must review three examples)

Managers	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Accounting Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Technical Staff	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Supervisors	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Field Workers	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Others:	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

General comments on this section: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**SUBCOMPONENT: FORMALIZED MANAGEMENT PRACTICES**

48. Does the organization have an organogram which specifies:  
(If yes, the TAF PO must review it)

- structure of projects only
- structure of the entire organization
- no organogram exists

49. Do written guidelines for routine program and financial procedures exist?  
For example, procurement of goods and commodities, training manuals, etc.  
(do not include guidelines prepared for family planning project)?

(If yes, the TAF PO must review them)

- Donor required  Yes  No
- General guidelines for the entire organization  Yes  No

If yes, the TAF PO must list all the guidelines which exist. Under the column labeled: "Guidelines Being Followed", the TAF PO should review two items within each set of guidelines, then verify files to confirm that the written procedure is being followed.

Guidelines	Instructed by:		Guidelines Being Followed
	Donor	NGO	
Project Operation Manual			
Project Financial Management Manual			
Organization Activities Operation Manual			
Organization Financial Management Manual			
Organizations Service Rules			
Other			

50. Have any of the guidelines ever been updated? If so when and why?

Name of Guidelines/Manual      Last Updated      Reason

51. Is there any written documentation regarding to whom the Chief Executive is accountable? (e.g. job description, service rules, minutes of Executive Committee meetings which reviews performance, etc.)

No written document exists       Yes       No

Organigram reflects to whom Chief Executive is accountable but E.C. does not review performance       Yes       No

Executive Committee reviews Chief Executive's performance on an annual basis       Yes       No

General comments on this section: \_\_\_\_\_

\_\_\_\_\_

**SUBCOMPONENT: REPORTING AND MIS**

52. Are administrative and/or program-related progress reports prepared on all organizational activities or only as donors or government require?

(If yes, TAF PO must review all reports mentioned)

Organizational Activities       Yes       No

If yes, specify reports: \_\_\_\_\_

\_\_\_\_\_

Donor required       Yes       No

If yes, specify reports: \_\_\_\_\_

\_\_\_\_\_

Government required       Yes       No

If yes, specify reports: \_\_\_\_\_

\_\_\_\_\_

53. Is follow up action taken on any reports prepared? (e.g.: to correct a situation which the report may have noted.)  
(If yes, the TAF PO must ask for examples of follow up)

Yes       No

Examples of follow up: \_\_\_\_\_

\_\_\_\_\_

54. Does the management share reports with:

Staff

Executive Committee

Does not share reports

55. Does the organization have a monitoring system to follow the progress of all projects and organizational activities?  
(If yes, the TAF PO must review it)

Yes  No

56. If yes, obtain the following information regarding monitoring systems:

PROJECT/ ACTIVITIES	SCHEDULE FOR MONITORING EXISTS		RECORDS MAINTAINED		ACTION TAKEN ON FINDINGS		INSTRUCTED/ REQUIRED BY:	
	YES	NO	YES	NO	YES	NO	DONOR	NGO
FAMILY PLANNING								
NGO ACTIVITIES								

General comments on this section: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**COMPONENT: FINANCE**  
**SUBCOMPONENT: FINANCIAL MANAGEMENT**

57. Does the organization maintain any financial records using a ledger, cash book, voucher files, etc.?  
(If yes, the TAF PO must review them)

- |   |                          |     |                          |    |
|---|--------------------------|-----|--------------------------|----|
| For Organizational activities only  | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| For donor-supported projects only   | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| Combined records for organizational activities and donor-supported projects | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| No records maintained at all  | <input type="checkbox"/> |     |                          |    |

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

58. Is an annual external audit conducted?  
(If yes, the TAF PO must review a copy of the audit report)

- |  |                          |     |                          |    |
|--|--------------------------|-----|--------------------------|----|
| For the entire organization each year?     | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| For the entire organization every 2 years? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| For the entire organization just once?     | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

Other: (specify) \_\_\_\_\_

For Family Planning project?  Yes  No

Date of last audit: \_\_\_\_\_

59. Examine the Family Planning audit report from last year. Are there:

- Five or more problems/issues  
 less than five problems/issues  
 one problem/issue

60. What fund-raising records are maintained by the organization for non-donor related activities?  
(The TAF PO must review them)

- No records maintained  
 Minimum records (notes only) maintained  
 Cashbook, ledger and vouchers maintained for the entire organization  
 Not applicable

General comments on this section: \_\_\_\_\_  
\_\_\_\_\_

SUBCOMPONENT: FINANCIAL STABILITY

61. Is the organization seeking additional support from donors?

Yes                       No

62. What type of donations does the organization receive?  
(If the response is yes, the TAF PO must review relevant records)

Member subscriptions                       Yes                       No

Cash/in-kind contributions  
from members                       Yes                       No

Capital equipment or supplies                       Yes                       No  
Specify:

---

63. Does the organization collect service charges?

Yes                       No

64. If yes, complete the following:  
(the TAT PO must review relevant documentation to obtain the following information)

Amount of the organizations annual budget last year: TK \_\_\_\_\_

Amount of service charges collected last year: TK \_\_\_\_\_

Percentage of service charges as a proportion to the annual budget (divide the total service charge by the total budget): \_\_\_\_\_

65. Does the organization share costs with donor-supported projects?

Yes  No

66. If yes, what is the amount of this cost sharing specified in the annual budget?  
(the TAT PO must review relevant documentation to obtain the following information)

Amount of cost sharing last year: TK \_\_\_\_\_

Percentage of cost sharing as a proportion to the annual budget (divide the total cost sharing by the total budget): \_\_\_\_\_

67. Does the organization have income generating projects?

Yes  No

68. If yes, is the organization able to cover some of its operating expenses from the generated funds?  
(The TAF PO must review relevant documentation to obtain the following information)

Less than its operating costs

Just minimize its operating cost

Income spent for organizational activities

69. Does the organization have a financial sustainability plan?  
(If yes, the TAF PO must review the plan)

Yes  No

70. Is the plan being implemented according to the original design?  
(If yes, the TAF PO must review any relevant documentation to support the response)

Yes  No

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MANAGEMENT DEVELOPMENT ASSESSMENT PROFILE  
TABULATION FORM**

VERSION 5.0  
11 OCTOBER '93

NAME OF NGO: \_\_\_\_\_

DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT:                   MISSION AND PLANS  
SUBCOMPONENT:           NOT APPLICABLE (N/A)

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-3 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Mission Statement does not exist.

Organizations objectives unclear and unrealistic.

No planning system exists within the organization.  
Organization operates using a needs-based decision process by EC or founding members.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 4-6 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Mission Statement exists but staff are unaware of it.

Organizations objectives support Mission Statement.

Needs-based annual plan exists  
(e.g., donor-supported project proposals).

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY:	MARK OBTAINED: RANGE OF 7-9 POINTS
--------------	---------------------	---------------	------------------------------------

All employees and Executive Committee members are familiar with Mission Statement, which is used as a basis for long-range planning.

Projects undertaken which support the organizations mission statement and objectives.

The organization uses Strategic planning as a management tool.

TOTAL: \_\_\_\_\_

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TAF POs: \_\_\_\_\_

COMPONENT:               COMMUNITY PARTICIPATION  
SUBCOMPONENT:        INSTITUTIONALIZATION OF COMMUNITY PARTICIPATION

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-6 POINTS
--------------	---------------------	-----------------------------	------------------------------------

General membership does not increase more than 5% from first year organization was established.

Executive Committee meetings held no more than once per year.

Minutes of Executive Committee meetings not prepared.

Less than 25% of General members paid membership fee during the last year.

95% of Executive Committee consists primarily of family, friends and relatives.

General meetings (GM) are irregular and do not participate in nominating/selecting Executive Committee.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 7-12 POINTS
--------------	---------------------	-----------------------------	-------------------------------------

General membership does not increase more than 6 - 10% from first year organization was established.

Executive Committee meetings held half or less of the schedule, as per the constitution.

Minutes of Executive Committee meetings are prepared but not consistently. Follow up action is not taken on decisions made.

Less than 50% of General members paid membership fee during the last year.

75% of Executive Committee consists primarily of family, friends and relatives.

GM held regularly in last two years and nomination/selection of the Executive Committee took place.

TOTAL: \_\_\_\_\_

**COMPONENT: COMMUNITY PARTICIPATION**  
**SUBCOMPONENT: INSTITUTIONALIZATION OF COMMUNITY PARTICIPATION (cont)**

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 13-18 POINTS
-----------------	---------------------	--------------------------------	---

General membership increases by more than 10% from first year organization was established.

Executive Committee meetings held according to the schedule, as per the constitution.

Minutes of Executive Committee meetings are prepared and follow up action is taken on decisions made.

More than 90% of General members paid membership fee during the last year.

25% of Executive Committee consists primarily of family, friends and relatives.

GM held regularly in last three years and nomination/selection of the Executive Committee took place.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT:           COMMUNITY PARTICIPATION  
SUBCOMPONENT:       COMMUNITY CONTRIBUTIONS

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-3 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Members subscription is only source of non-project funds.

No voluntary activity takes place.

No significant collaboration/coordination with government and other organizations.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 4-6 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Members and community provide donations in cash.

Community provides a limited amount of voluntary service for specific activities.

Collaborate/coordinate with less than five external groups (government and other organizations) on significant program activities.

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 7-9 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Some type of fixed assets are made through community donation.

Community provides regular voluntary services on specific programs or activities for at least one year.

Collaborate/coordinate with five or more external groups (government and other organizations) on significant program activities.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT:           LEADERSHIP  
SUBCOMPONENT:       DECISION MAKING AND DELEGATION

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 1-4 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Founder or Manager takes initiative for fund-raising.

Founder member(s) takes decisions on programs and major problems without consulting management staff or Executive Committee.

Founding members represents organization in all types of coordination meetings.

Issues discussed in coordination meetings are not shared with Executive Committee and management staff.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 5-8 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Founders and project managers take initiatives for fund-raising.

Founder member(s) and management staff take decisions on programs and major problems.

Founding members and management staff participate in all types of coordination meetings.

Issues discussed in Coordination meetings are shared with Executive Committee and management staff who take action only in areas which are required by donor or government.

TOTAL: \_\_\_\_\_

COMPONENT: LEADERSHIP  
 SUBCOMPONENT: DECISION MAKING AND DELEGATION (cont)

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 9-12 POINTS
--------------	---------------------	-----------------------------	-------------------------------------

Executive Committee and staff participate in fund-raising activities.

Founder member(s), management staff and Executive Committee take decisions on programs and major problems.

Coordination meetings attended by Specialty and job descriptions of staff and subcommittees.

Issues discussed in Coordination meetings are shared with Executive Committee, management staff, and subcommittees, and they are take action on the basis of organizational needs.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT:           LEADERSHIP  
SUBCOMPONENT:       EXPERIENCE AND COMPETENCE

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 1-2 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Organization follows existing policies and plans established by CA.

Annual Plan, budget and project proposal prepared by CA.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 3-4 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Organization brings in modifications and innovations in policies and implements them.

Annual plan, budgets and project proposal prepared jointly by CA and NGO.

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 5-6 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Organization leader is experienced, has vision to anticipate future needs of the organization, and plans accordingly based on strategic plans.

Annual Plan, budget and project proposal written by organization with assistance from CA.

TOTAL: \_\_\_\_\_

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NAME OF NGO: \_\_\_\_\_

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TAF POs: \_\_\_\_\_

COMPONENT: HUMAN RESOURCE MANAGEMENT  
SUBCOMPONENT: STAFF TRAINING

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-4 POINTS
--------------	---------------------	-----------------------------	------------------------------------

- 25% or less of staff is trained.
- Staff training plan does not exist.
- Executive Committee has no formal training.
- No in-service or on-the-job training takes place.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 5-8 POINTS
--------------	---------------------	-----------------------------	------------------------------------

- More than 75% of staff is trained.
- Staff training plan depend on done. requirements and support.
- Executive Committee has received training to support donor-funded projects.
- In-service and refresher training takes place, as recommended and funded by donor.

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 9-12 POINTS
--------------	---------------------	-----------------------------	-------------------------------------

- 100% of staff is trained.
- Organizations training needs assessed and followed.
- Executive Committee receives training on organizational development and strategic planning.
- In-service and on-the-job training provided on the basis of organizations training needs.

TOTAL: \_\_\_\_\_

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NAME OF NGO: \_\_\_\_\_

DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT: HUMAN RESOURCE MANAGEMENT  
SUBCOMPONENT: STAFF SUPERVISION

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-4 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

No workplans prepared

No records maintained by supervisors (logbook).

No formal monitoring system exists.

Staff performance reviews do not exist.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 5-8 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Workplans exist for donor-supported project staff only.

Records maintained by supervisors according to donor requirements and feedback is given to staff verbally and on the job.

Monitoring is done without a schedule and findings are not recorded. Follow up action taken only for donor-supported projects.

Staff performance review done by manager without input from the field workers immediate supervisor. Reviews are not shared with staff, as may be required by donor.

TOTAL: \_\_\_\_\_

COMPONENT: HUMAN RESOURCE MANAGEMENT  
SUBCOMPONENT: STAFF SUPERVISION (cont)

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 9-12 POINTS
--------------	---------------------	-----------------------------	-------------------------------------

Workplans exist for all staff in the organization.

Feedback provided to staff by Supervisor based on records maintained from written or on-the-job comments, in-service training, and meetings.

Schedule-based monitoring exists, findings recorded and action taken as appropriate for all staff.

Staff performance reviewed jointly by Executive Committee, managers and immediate supervisors and shared with all staff.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT: HUMAN RESOURCE MANAGEMENT  
SUBCOMPONENT: SERVICE RULES

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-2 POINTS
--------------	---------------------	-----------------------------	------------------------------------

No Service Rules exist.

No individual Personnel files exist.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 3-4 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Service Rules exist but are not shared with staff and are not implemented consistently.

Individual Personnel files exist but records are not maintained properly.

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 5-6 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Staff have a copy of Service Rules and Service Rules-related decisions are taken based on written policies.

Personnel files are complete and up to date.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT: ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION  
SUBCOMPONENT: JOB RESPONSIBILITIES

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-2 POINTS
--------------	---------------------	-----------------------------	------------------------------------

No written job descriptions exist

Staff are unclear who their supervisors are.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 3-4 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Job descriptions exist for donor-supported staff only.

Job descriptions state supervisors but these lines of communication are not followed.

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 5-6 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Clear job descriptions are in place and up to date for all NGO staff.

All staff communicate with their immediate supervisors for clarification of job responsibilities.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT: ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION  
SUBCOMPONENT: MANAGEMENT PRACTICES

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 1-2 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Organigram not in place.

Absence of a general operations manual for  
the organization.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 3-4 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Organigram in place and facilitates project  
implementation.

Guidelines for general operations developed  
and followed as required by donors.

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 5-6 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Organigram in place and facilitates organization  
as a whole.

General operating manual updated on a regular  
basis for all organizational activities and followed.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT: ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION  
SUBCOMPONENT: REPORTING AND MIS

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-2 POINTS
--------------	---------------------	-----------------------------	------------------------------------

No reports are prepared on organizational activities.

Minimal information is shared in writing or verbally.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 3-4 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Reports prepared as required by donors and government for organization activities.

Reports shared with staff only, no action taken.

TOTAL: \_\_\_\_\_

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 5-6 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Reports prepared on organizational activities including donor and government requirements.

Reports shared with staff and Executive Committee and action taken.

TOTAL: \_\_\_\_\_

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DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT: FINANCE  
SUBCOMPONENT: FINANCIAL MANAGEMENT

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-4 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Organization does not maintain complete financial records or prepare reports.

Organization has never had an audit performed by an external company.

Family Planning audit identifies more than ten problems.

Fund-raising activities not recorded in accounting records.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 5-8 POINTS
-----------------	---------------------	--------------------------------	---------------------------------------

Project-wise financial records maintained and reports prepared as required by donor.

Audit for donor-supported projects has taken place.

Family Planning audit identifies less than ten problems.

Financial records on fund-raising activities exist for donor-related projects.

TOTAL: \_\_\_\_\_

COMPONENT: FINANCE  
SUBCOMPONENT: FINANCIAL MANAGEMENT (cont)

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 9-12 POINTS
--------------	---------------------	-----------------------------	-------------------------------------

Organization maintains its own financial records/reports/balance sheet, incorporating project budgets.

Organizational audit takes place.

Family Planning audit identifies less than three problems.

Financial records on fund-raising activities exists for all types of activities, including non donor-supported projects.

TOTAL: \_\_\_\_\_

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NAME OF NGO: \_\_\_\_\_

DATE OF ASSESSMENT: \_\_\_\_\_

TAF POs: \_\_\_\_\_

COMPONENT: FINANCE  
SUBCOMPONENT: FINANCIAL STABILITY

LAUNCH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 1-5 POINTS
--------------	---------------------	-----------------------------	------------------------------------

Only one source of funds. Not seeking additional donor support.

Service charges make up less than 3% of the organizations income.

No income generating activities exist.

Organization shares costs for the family planning projects.

No financial sustainability plan exists.

TOTAL: \_\_\_\_\_

GROWTH STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOS.:	MARK OBTAINED: RANGE OF 6-10 POINTS
--------------	---------------------	-----------------------------	-------------------------------------

Two sources of funds exists and the additional donor support is being sought.

Service charges make up 3% - 10% of organizations income.

Initiative taken for income generation but income received is not sufficient to spend on organizational activities.

NGO share less than 5% of costs of family planning projects.

Financial sustainability plan exists but is not consistently followed.

TOTAL: \_\_\_\_\_

COMPONENT: FINANCE  
SUBCOMPONENT: FINANCIAL STABILITY (cont)

MATURE STAGE	SPECIFIC INDICATORS	SUPPORTED BY QUESTION NOs.:	MARK OBTAINED: RANGE OF 11-15 POINTS
--------------	---------------------	-----------------------------	--------------------------------------

More than two sources of funds exist and additional donor support is being sought.

Service charges make up more than 10% of organizations income.

Income generating activities able to support a limited amount of organizational expenditure.

NGO shares more than 5% of cost for family planning projects.

Financial sustainability plan followed.

TOTAL: \_\_\_\_\_

THE ASIA FOUNDATION

MANAGEMENT DEVELOPMENT ASSESSMENT PROFILE

NGO:

DATE ASSESSED:

	LAUNCH STAGE		GROWTH STAGE		MATURE STAGE		TOTAL SCORE
	RANGE	SCORE	RANGE	SCORE	RANGE	SCORE	
MISSION AND PLANS	1-3		4-6		7-9		
COMMUNITY PARTICIPATION							
Institutionalization of Community Participation	1-6		7-12		13-18		
Community Contributions	1-3		4-6		7-9		
LEADERSHIP							
Decision Making and Delegation	1-4		5-8		9-12		
Experience and Competence	1-2		3-4		5-6		
HUMAN RESOURCE MANAGEMENT							
Staff Training	1-4		5-8		9-12		
Staff Supervision	1-4		5-8		9-12		
Service Rules	1-2		3-4		5-6		
ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION							
Job Responsibilities	1-2		3-4		5-6		
Management Practices	1-2		3-4		5-6		
Reporting and MIS	1-2		3-4		5-6		
FINANCE							
Financial Management	1-4		5-8		9-12		
Financial Stability	1-5		6-10		11-15		
TOTAL SCORE	1-43		56-86		99-129		
ADJUSTED SCORE	1-55		56-98		99-129		

**ANNEX VI**  
**PATHFINDER MANAGEMENT ASSESSMENT MATERIAL**

**ANALYSIS OF PILOT STUDIES**  
**REVISED QUESTIONNAIRE**  
**REVISED MATRIX**

# ORGANIZATIONAL STRUCTURE AND LINES OF COMMUNICATION

ENDPOINT 1: MANAGEMENT SYSTEM IN PRACTICE, DECISION MAKING A SHARED PROCESS, AND FLEXIBILITY TO RESPOND TO CHANGING ENVIRONMENT

QUESTIONS & PAGE NOS.	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>1(1),5(2)</p> <p>4(1),6(1),2a,b(2)</p> <p>7(2)</p>	<p><b>Specific Indicators:</b></p> <p>a. No PAC active role with EC or PD</p> <p>b. PAC not knowledgeable about project proposals, organization's goals, activities and problems</p> <p>c. No meetings with other agencies</p>	<p><b>Specific Indicators:</b></p> <p>a. PAC and PD and EC are beginning to work together in a joint manner</p> <p>b. PAC, and PD more active, reviews project performance, discuss project proposals</p> <p>c. Meet with other agencies to learn about environment</p>	<p><b>Specific Indicators:</b></p> <p>a. PAC, and PD knowledgeable about project objectives and goals and actively works with EC and PM, makes recommendations and approves project proposals</p> <p>b. PAC, PD and staff more active, reviews project performance, discuss project proposals</p> <p>c. Regular meetings with other agencies, and awareness of environment</p>
	<p><b>Sources:</b></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

QUESTION & PAGE NOS.	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
9(2);2,3,4a,4b(9); 2,3,4,5(10).  11a,11b,11c,11d(3)	<p><b>Specific Indicators:</b></p> <p>a. Job descriptions for individuals exist or utilized in partial form</p> <p>b. Annual performance review not performed and documented</p>	<p><b>Specific Indicators:</b></p> <p>a. All individuals have job descriptions and tangible work plans Average of 50% of defined workplans are accomplished</p> <p>b. Annual performance conducted, documented and partially related to salary increase.</p>	<p><b>Specific Indicators:</b></p> <p>a. Individuals understand their job descriptions, have accountable workplans, and are accomplishing an average of 80%+ of goals</p> <p>b. Annual performance review conducted, fully documented and related to salary increase</p>
	<p><b>Sources:</b></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**

QUESTION & PAGE NOS.	LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
	Majority of staff not highly skilled or have not received any specialized training to conduct their job. Staff development plan does not exist	Most of staff is trained, primarily through as hoc training plans from external support. Long-term staff development plans may exist in some stage	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>15(4)</p> <p>14(3)</p> <p>13(3)</p>	<p>Specific Indicators:</p> <p>a. 0-40% of staff received basic trg./orientation Minimal on the job training provided</p> <p>b. Staff training plan does not exist at NGO level.</p> <p>c. No needs assessment conducted</p>	<p>Specific Indicators:</p> <p>a. 41-74% of staff received basic trg./orientation Ad hoc basic and refresher training takes place</p> <p>b. Staff training plan partially exist</p> <p>c. Needs assessment takes place in order to develop a staff development plan</p>	<p>Specific Indicators:</p> <p>a. 75-100% of staff received basic trg./orientation All staff receive training to fulfil job requirements</p> <p>b. Training plan complete for all staff</p> <p>c. Periodic training needs assessment performed</p>
	<p>Source:</p> <p>1. Training Plan</p> <p>2. Staff development plan</p> <p>3. Activity reports and annual report</p> <p>4. Personnel Records</p>		

## MISSION AND PLAN

### ENDPOINT 3: STRATEGIC AND ANNUAL PLAN OPERATING SUCCESSFULLY

QUESTION & PAGE NOS.	LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
	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
5(1)	Specific Indicators: a. No written mission in place	Specific Indicators: a. Written mission in place but not well known	Specific Indicators: a. Mission is in place and well known through out the project
17(4)	b. Annual plan understood/done by one or two members	b. Executive Committee involved in Annual plan	b. EC and PAC and CA involved in annual plan
18(4)	c. Targets provided by CA and not decentralized	c. NGO begins to develop targets and decentralize	c. NGO capable to develop target and decentralize
3(1)	d. Objectives/targets unclear, and unrealistic, less than 40% of objectives being met	d. Well defined targets exist and accomplished at 41- 74%	d. Measurable targets and being met at 75% or above level
0(1)	e. PAC meets irregularly	e. PAC meets qrtly and does not always monitor and document the proj. activities	e. PAC meets qrtly, always monitor and document the project objectives
	f. Strategic plan does not exist	f. Strategic plan exist	f. Strategic plan exist and reviewed in every 2 yrs
	Sources: a. Annual Plan b. Strategic Plan c. Monitoring Reports d. Minutes of any planning meetings (eg. annual review meeting) e. Annual budget and expenditures f. Base line data		

# LEADERSHIP

## ENDPOINT 4: ABILITY TO PLAN AND WORK INDEPENDENTLY WHILE RESPONDING TO DONORS AND BOARD

QUESTION & PAGE NOS.	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
22a(5);5(9)	<b>Specific Indicators:</b> a. CA primarily responsible for writing annual plan	<b>Specific Indicators:</b> a. CA and NGO work jointly to create annual workplan	<b>Specific Indicators:</b> a. Annual work plan, training plan, and supervisory plans created by PM and PAC
5(9),22c(5)	b. Only CA and Project Manager involved in trg./work plan	b. PM writes trg. plan	b. PM and staff writes trg. plan
10(3)	c. Can't identify problems	c. Can identify problems but can't resolve it	c. Can identify problems and resolve them
16(4)	d. Not familiar with QES objectives	d. 50% familiar with QES objectives	d. Well familiar with QES objectives
12(3)	e. 0-40% of the workplan followed correctly (0-5 yes)	e. 41-74% of the workplan followed correctly (6-9 yes)	e. 75% or above of the workplan followed correctly (9-12 yes)
22b(5)	f. Only CA and PM writes supervisory plan	f. PM write more of the supervisory plans, and with PAC involvement	f. PM,staff and PAC writes supervisory plan
	<b>Sources:</b> a. Annual Workplan b. Training Plan c. Supervisory Plan d. Interviews		

**ENDPOINT 4B: ABLE TO RESPOND TO NEW IDEAS AND RECOMMENDATIONS**

QUESTIONS & PAGE NOS.	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
19(5)  20b,c;21b(5)	<p><b>Specific Indicators:</b></p> <p>a. No changes made in CA recommendations and requests</p> <p>b. Not all donor requests implemented successfully</p>	<p><b>Specific Indicators:</b></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><b>Specific Indicators:</b></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><b>Sources:</b></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

QUESTIONS & PAGE NOS.	LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
	Accounting system at beginning stage	Accounting System reliable	Accounting system reliable and able to respond to changes
<p>6(8)</p> <p>5(8)</p>	<p><b>Specific Indicators:</b></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><b>Specific Indicators:</b></p> <p>a. Audit report problems identified and only partially resolved</p> <p>b. Project Acquisitions equally done by CA and Project</p>	<p><b>Specific Indicators:</b></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><b>Sources:</b></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**

QUESTION & PAGE NOS.	LAUNCH PHASE	GROWTH PHASE	MATURE PHASE
	<b>Financially Vulnerable</b>	<b>Moderate Financial Stability</b>	<b>Significant Financial Stability</b>
<p>1(6)</p> <p>24(5) 1(6)</p> <p>3(6)</p> <p>4(6)</p> <p>3a,b,c(6)</p>	<p><b>Specific Indicators:</b></p> <p>a. Less than 15% income from non-donor sources</p> <p>b. Only one or two sources of income, and are purely from donors</p> <p>c. &lt;75% of amount budgeted spent</p> <p>d. No unit cost accounting</p> <p>e. Income not stable</p>	<p><b>Specific Indicators:</b></p> <p>a. More than 15% of income from non-donor sources, and costs equal to income.</p> <p>b. More than two sources of income</p> <p>c. At least 75-84% of amount budgeted spent</p> <p>d. Unit costs identified but not improving as applied</p> <p>e. Income begins to be stable for more than 2 yrs or increases</p>	<p><b>Specific Indicators:</b></p> <p>a. More than 25% of income from non-donor sources such as sale of goods and services or - internal resources matched by external resources</p> <p>b. 3 or more sources of income with at least 2 from outside donors and have written plan to use outside donor funds.</p> <p>c. At least 85% of income spent</p> <p>d. Unit costs identified, used and improving and/or acceptable</p> <p>e. Income stable or/and increasing</p>
	<p><b>Sources:</b></p> <p>a. ELCO Cards</p> <p>b. Patient Register</p> <p>c. Financial Stability Plan</p> <p>d. Budget</p> <p>e. Income/Loss Statement</p> <p>f. Financial Statement</p>		

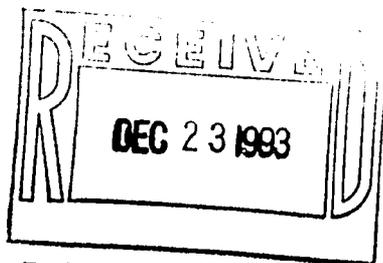
## COMMUNITY PARTICIPATION

### ENDPOINT 6: COMMUNITY ACTIVELY SUPPORTS NGO

QUESTION & PAGE NOS.	LAUNCH STAGE	GROWTH STAGE	MATURE STAGE
	Community uses services, meets infrequently, and gets small contributions in-kind, receives little support from the community	Community generates limited funds, donates land, office space, and begins to pay for services	Community generates significant support, provide donations and fee for services and regularly attended meetings
<p>2f(6),6(2)</p> <p>23(5)</p> <p>2(1);1,3,4(2)</p>	<p>Specific Indicators:</p> <p>a. No in-kind donations by members (0%)</p> <p>b. 0-20% paying for services</p> <p>c. Meets 1 to 2 times in a year, and attendance of the members on average is 3 to 4</p>	<p>Specific Indicators:</p> <p>a. Received some support and donations of land, office space, or equipment (1%)</p> <p>b. 21-50% paying for services</p> <p>c. Meets 2 to 3 times in a year, and attendance of the members on average is 5</p>	<p>Specific Indicators:</p> <p>a. Generating strong support from donations and collaboration of other agencies (&gt;1%)</p> <p>b. 51% or above paying for services</p> <p>c. Meets 4 or more times in a year, and attendance of the members on average is 6 or more</p>
	<p>Sources:</p> <p>a. Service statistics for condom distribution and sales as well as client's collecting contraceptives from worker's houses</p> <p>b. Subscription lists</p> <p>c. Contribution reports</p> <p>d. Financial records</p> <p>e. PAC meeting minutes</p>		

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**ANNEX VII:  
DRAFT SCOPE OF WORK FOR NOVEMBER/DECEMBER VISIT**



**SCOPE OF WORK: VISIT NUMBER THREE**

**PROMOTING SUSTAINABILITY OF NGO'S**

**Bangladesh, November 28 - December 16, 1993**

**Background and Purpose:**

The purpose of the current team assignment is to conduct the third in a series of technical assistance visits planned between June 1993 - June 1994 under the scope of work (SOW) entitled "Technical Assistance in Promoting the Sustainability of NGOs".

The team will continue efforts on work initiated in June/July and September/October with senior management and program staff of the CAs however, the emphasis will shift from development and field testing of the MDA indicators, instrument and tabulation methods to actually using the information collected from these tools to ascertain the organizational strengths and weaknesses of NGOs assessed. 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 five to six day seminar will be held in Dhaka to train key CA staff how to plan and facilitate strategic planning with NGOs, how to use information from the MDA to identify and prioritize areas which need to be strengthened, and how CAs can most effectively provide technical assistance to NGOs.

**Objectives of the consultancy:**

The three person team will undertake the following tasks:

1. Meet in Boston for a day during the week of November 15 to plan and design the strategic planning seminar scheduled for December 5-8 in Dhaka. Correspond with the CAs and USAID/Dhaka concerning selection criteria for seminar participants, and the location and agenda for the seminar.
2. Work with FPSTC, Pathfinder and The Asia Foundation to analyze information received from the final version of the MDA indicators, instrument and guidelines and tabulation process related to conducting management assessments.
3. Conduct a five to six day seminar on strategic planning which will cover the following:
  - A. Other types of planning, in addition to strategic planning, especially as it pertains to NGOs who may not be ready for strategic planning.
  - B. Using the MDA to identify management areas which need to be strengthened.
  - C. Strategies for moving NGOs out of the "launch stage" (annual planning, "pre" strategic planning).
  - D. Methods for CA staff to provide technical assistance to NGOs.
4. Following the seminar, serve as a technical resource to FPSTC, Pathfinder and The Asia Foundation staff as they plan for and initiate the strategic planning process with one NGO.
5. Serve as a technical resource to AVSC as they develop an annual activity plan with one or two of the NGOs it supports.
6. 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.
7. 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 March 1994, prior to the team's departure.