

# Family Planning Manager

## MANAGEMENT STRATEGIES FOR IMPROVING SERVICE DELIVERY

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## Planning for Sustainability: Assessing the Management Capabilities of Your Organization

### Editors' Note

The ability to assess an organization's management capabilities is rapidly becoming a critical skill for health and family planning managers. As policy makers, national program planners, and donors take an increasingly critical look at program priorities and the use of available resources, their attention is drawn to how well organizations and programs operate. It is no longer sufficient to say that a project or a service is well managed. Managers have to demonstrate that the organization, as well as the program through which the service is delivered, is well managed now and will continue to be in the future.

This issue of *The Family Planning Manager* explains how organizations move through stages of development as they build their management capabilities, and presents the management development assessment (MDA) methodology, a systematic process for rapidly assessing the management capabilities of your own organization. Two supplements accompany this issue. The *Pocket Guide to MDA Indicators* provides sample management indicators to help you set measurable indicators for assessing organizational capabilities. *The MDA Start-Up Kit* provides instructions on developing and administering an MDA questionnaire to collect information on management capabilities and includes a full sample questionnaire. The issue concludes by explaining how to analyze the results of your assessment and develop and implement an MDA action plan, so that you can make lasting management improvements and strengthen the sustainability of your organization.

—The Editors

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# Addressing Management Development Systematically

The health and family planning field is changing rapidly. Since the International Conference on Population and Development in 1994, health and family planning managers have been striving to transform their programs to provide broader reproductive health services. To meet this challenge, many managers have begun to integrate family planning services with maternal and child health care, and to more closely coordinate family planning services with the prevention of HIV/AIDS. These changes, together with the growing emphasis on sustainable development and the careful allocation of scarce donor and government resources, have made managers realize that they have to improve their management skills and the management systems within their organizations.

In order to build the sustainability of an organization, today's managers need to ask and answer key questions about how they and the people they work with, both directly and indirectly, perform together as a group and how well the managerial systems support their work. As a manager, you will need to consider the general management capability of the clinic, hospital, or program through which services are delivered. You must also be ready to identify strengths and weaknesses and to recommend and take actions that will increase your organization's ability to face the challenges of the next decade.

To make effective, long-lasting changes in the management of your organization you should systematically assess the organization's management capabilities. To do this you will need to:

- Gain the interest and participation of the organization's leadership and all employees in assessing and improving the management capabilities of your organization;
- Collect objective information about how well major management functions in your organization are working;
- Analyze the organization's strengths and weaknesses and formulate and implement strategies that lead to effective and sustained improvements in performance.

Management development is based on the concept that organizations pass through several stages of development as they grow, strengthen, and mature. Understanding these stages helps you to systematically assess the current management capabilities of your organization and take critical steps to strengthen the management capability and sustainability of your organization as a whole.

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The Management Development Assessment (MDA) methodology presented in this issue allows managers, together with their colleagues, to rapidly assess the management capabilities of their own organization. The MDA should be carried out by a team of three or four people and the entire process through the development of an action plan should be completed in a short amount of time. An MDA is designed to incorporate a wide range of experience, to inspire debate and discussion, and to generate ownership of the results. If you do not think that you have the internal capacity to conduct a management assessment, you may want to consider seeking assistance from a management consultant to guide you through the process. All large organizations should work with an outside management consultant to help address the complexities that arise when there are multiple program components and complex structures and systems.

This issue of *The Family Planning Manager* was written by Saul Helfenbein and Stephen Sacca who collaborated with Roy Brooks in developing and applying the MDA methodology in Bangladesh. Saul Helfenbein is the Director of the Population Program at Management Sciences for Health (MSH), Stephen Sacca is Senior Program Associate in MSH's Health Financing Program, and Roy Brooks is President of Health Finance and Management, Inc., based in Washington, DC.

The authors and editors would like to thank Alison Ellis and Paul Fishstein of FPMD's Asia/Near East Unit for their careful reviews and technical input during the development of this issue, and Barbara Timmons and Linda Sutfenfield for their work on early drafts of MDA guidelines. We would also like to thank the staff of The Asia Foundation, Pathfinder International, and the Family Planning Services and Training Centre (FPSTC) in Bangladesh for their efforts in developing and implementing the process and tools of the MDA.

### **The Origins of the MDA**

The Family Planning Management Development (FPMD) project developed the MDA over the course of two years of collaborative work with three major umbrella organizations in Bangladesh—The Asia Foundation, Pathfinder International, and the Family Planning Services and Training Centre. In turn, these three organizations provide support to over 100 local non-governmental organizations (NGOs) that deliver family planning services. Many of the examples in this issue are drawn from their experiences in developing and applying tools of the MDA to assess and strengthen the management capabilities of their grantees.

The MDA was derived from the FPMD Framework for Institutional Development, which uses four stages of management development. In developing the MDA, the Framework was adapted to include only three stages to suit the local context of the NGO environment in Bangladesh. The MDA has since been used in Turkey, Mexico, and several Latin American countries, and continues to be modified to suit the specific needs of the organizations that use it.

## Reasons to Conduct a Management Development Assessment

A management development assessment can be conducted in many ways. But whatever the method, it is important to understand the reasons for doing so. It can help you to:

- Set clear goals for improving the management capabilities of your organization;
- See where you are on the management development continuum for each different management area (You may find that the organization is in one stage in one management area, and in an earlier or later stage in another management area.);
- Make responsible decisions about the systems and resources that are needed to move the organization from one stage to the next;
- Estimate the time required for progress, considering the available resources and the effort that can reasonably be expended to improve management skills;
- Make rational choices about investing limited resources to improve deficiencies;
- Provide objective information to gain the support of all employees for a concerted effort to improve management capabilities;
- Identify how best to use opportunities for training and technical assistance to further the overall development of the organization;
- Generate baseline information that will allow you to determine how successful your management development efforts have been over time;
- Determine whether your program has the management capability to add new services and expand the existing services it provides to reach a broader client base.

## Understanding the Stages of Management Development

The best way to begin an assessment of overall management capability is to take a long-range view of the organization and the way it has developed over time. As organizations grow they evolve along a management development continuum, which is characterized by distinct developmental stages. Organizations pass through these stages at different rates and tend to remain in a particular stage of development until the organization has developed a combination of good management systems and skilled managers and staff who can use the systems effectively. It is important to understand that an organization often will be in different stages of development for different types of management systems or capabilities. This is to be expected, because some management systems will have received more attention than others as the organization develops. *For example, donors often focus on making sure that sound financial management practices are in place first, before*

*having an organization focus on developing human resource systems. In such a case, the financial management systems may be in a more advanced stage of development than the human resource systems.*

There are several key management areas that concern managers in developing an organization: formulating a clear and achievable mission (from which short- and long-term goals and objectives are derived); developing and using effective program strategies (such as community participation and outreach); building an appropriate organizational structure for communications and decision making; and institutionalizing systems such as financial and human resource management that support program strategies.

The MDA helps you “map” your organization’s management capability by determining the current stage of development for specific types of management capabilities. To do this, the MDA uses three distinct and differentiated stages of development known as the *launch*, *growth*, and *mature* stages. The main management characteristics of these stages are presented below.



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**The launch stage.** This is the formative period of an organization when it is first established. It is usually characterized by a focus on a single program activity. Organizations in the launch stage often are run by a strong leader or a founder who generally does not delegate or involve staff in major decisions. Management systems are quite elementary. The organization as a whole is often overly dependent on external donors. Although it usually has a mission defined by its founders or by a mandate or constitution, its objectives are often determined by an external donor and it often strives to maintain a particular source of funding.

Because most launch-stage organizations are dependent on outside sources for materials and funds, they establish basic management systems to meet the needs of the donor(s). The main functions of the systems are to meet donor reporting requirements (generally to report on how donor resources are being used and whether the organization is achieving the objectives set forth by the donor). The number of staff is usually small and responsibilities are not clearly differentiated between managers and board members. There are very few human resource management systems in place (such as personnel policies, job descriptions, and performance reviews).

**The growth stage.** Once an organization succeeds in building its credibility and satisfying the requirements of its main external supporter, it is often perceived as a good investment. Other international donors seek out this type of organization to channel available financial resources to. Thus, in this stage, the number of projects multiplies, staff grows, and roles and responsibilities become more differentiated as activities become more complex.

Planning becomes increasingly important in order to make decisions about multiple program needs and to meet the requirements of different donors. At this stage, external pressure is still an important factor in deciding which projects to undertake, and the organization often reacts to opportunities on a first come, first accepted basis. More progressive organizations begin to make strategic choices about

their scope of services and consider long-term programs as opposed to short-term projects.

As the number of staff begins to grow in order to implement new programs, informal management systems are no longer adequate. Management systems begin to be strengthened to facilitate communication and clarify lines of authority and supervisory responsibility. Similarly, with more programs to implement, there is increasing emphasis on monitoring material and financial resources, and on evaluating program outcomes.

**The mature stage.** Organizations at this stage tend to be either large international or national NGOs that have successfully expanded programs and services, developed their management capabilities, and achieved significant program performance. They have succeeded in attracting highly skilled staff, and senior managers have started to delegate major responsibilities and decision making to their staff.

Organizations at this stage have a clear mission. They use strategic planning to make choices about goals, services, and clients. Although external resources are still necessary, the organization is more independent, resists external pressures, and may reject funds if the requirements for the use of those funds are not compatible with its mission.

Strategic and operational planning become primary management systems. The organizational mission and goals are periodically reassessed for pertinence and consistency with the political environment and financing possibilities. Financial planning becomes as important as program planning. The more the organization becomes involved with strategic planning, the more it matches its abilities with its strategies, becoming increasingly concerned with building the capabilities of both its employees and its management systems. The organization also is cognizant of the environment, plans for the future, and increasingly emphasizes cost-containment, cost-recovery, quality control, and diversification of funding in order to be sustainable.

## Gaining a Long-Range Perspective

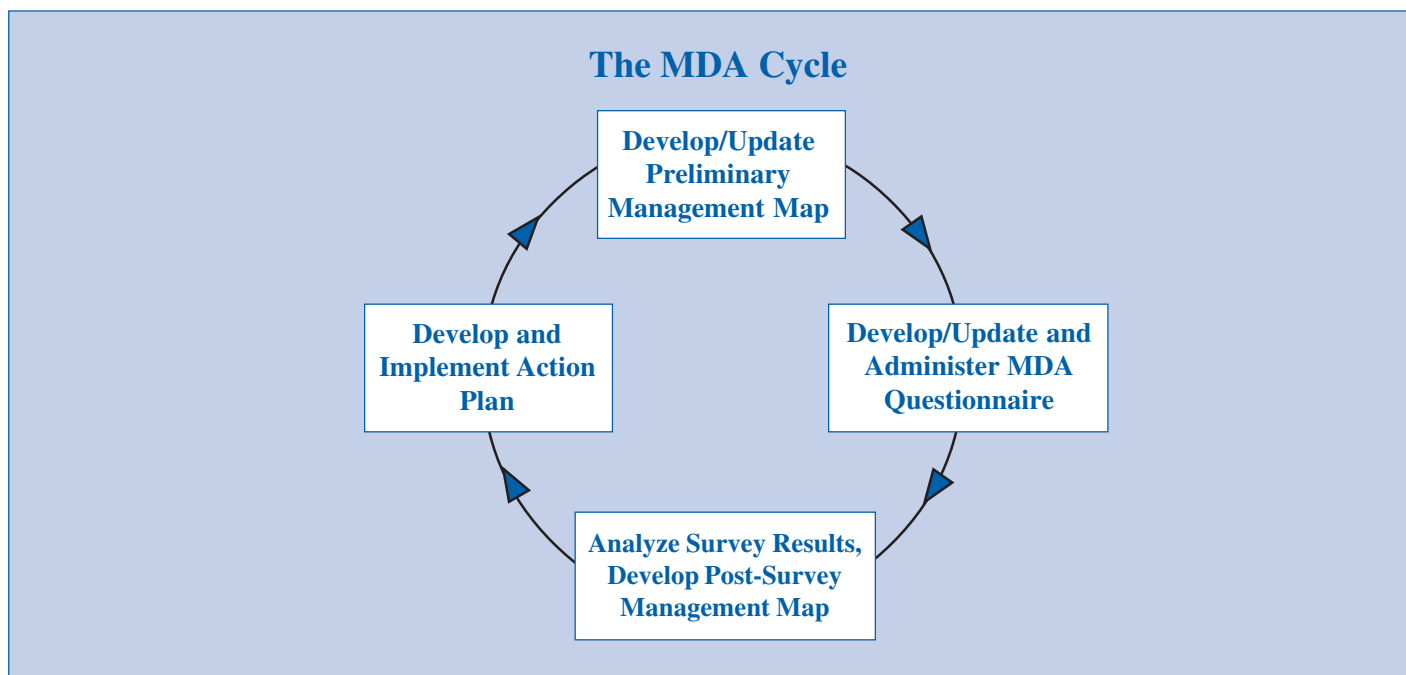
Once you are familiar with the characteristics of each stage of development, you can obtain a historical perspective of your organization and determine how far it has come and how much progress it still needs to make.

Using the stages of development as a guide, you can define indicators for identifying and measuring progress in the management development of your organization. By measuring your current status against these indicators you can take an objective look at your organization and determine where you are and what you need to strengthen in order to reach a more advanced stage of development. It is important, however, to set realistic goals. While you may wish to reach the mature stage as soon as possible, it is sometimes necessary to set intermediate goals that are consistent with the time and resources available to your organization.

## Assessing Management Capabilities

There are four major steps in conducting an MDA. These are to:

- Develop a preliminary management map to guide the assessment;
- Develop and administer the MDA questionnaire to collect information on the management capabilities of your organization;
- Analyze the survey results and develop a post-survey management map of your organization;
- Develop and implement an action plan for making management improvements.



When you conduct an MDA, you should have two main objectives:

- To measure the *current* level of management capabilities in your organization;
- To identify new levels of *attainable* management capabilities.

To achieve these two objectives, you need to identify the management capabilities you wish to strengthen, determine strategies for improving these management capabilities, and develop the management skills and systems so that your organization can become mature and sustainable.

## Step 1

### Develop a Preliminary Management Map

The first step in the MDA is to develop a management map. Developing a management map will help you to measure your organizational capabilities quickly and produce results that you can easily follow to move your organization to a higher stage of management development. There are three parts to preparing a preliminary management map:

- Selecting key management areas;
- Selecting indicators for each management area;
- Establishing reference criteria for each indicator.

#### Selecting Key Management Areas

First you will need to decide which management areas are most critical to focus on. These usually include the skills and systems needed for the

organization to function well, such as planning and leadership, the organizational structure, and operating systems and policies that influence communication, supervision, delegation, and decision making. Try to limit the management areas you choose to those that are the most important, rather than being exhaustive and listing all of them, since the more areas you include, the longer the MDA will take, and the longer the time between conducting the assessment and using the results will be. The six most important management areas selected by the NGOs in Bangladesh were:

- mission and plans;
- leadership;
- organizational structure and lines of communication;
- financial management;
- human resource management;
- community participation.

The following table describes the importance of these management areas.

The Importance of the Six Management Areas Selected	
Management Area	Reason for Importance
<b>Mission and Plans</b>	The ability to develop a clear, relevant mission statement and to prepare strategic and operational plans is essential to take full advantage of present and future opportunities for improving quality, expanding services, and building demand.
<b>Leadership</b>	Effective and continuous leadership is essential to keeping all staff in the organization focused on achieving its mission and goals.
<b>Organizational Structure and Lines of Communication</b>	An effective organizational structure and clear lines of communication are essential to coordinating activities and to producing and sharing information necessary for all management functions and decisions.
<b>Financial Management</b>	Generating, using, and reporting on how various sources of funds are being used builds confidence among donors, the board of directors, and staff in the financial stability of the organization and the potential for future development.
<b>Human Resource Management</b>	Recruiting, supervising, training, and developing program, administrative, and executive staff are essential to the successful implementation of program strategies and activities.
<b>Community Participation</b>	Securing the community's support for and participation in organizational decision making and implementation of programs increases the likelihood of identifying acceptable and realistic goals and approaches.

## Selecting Indicators for Each Management Area

After selecting the broad management areas that are important to your organization, you need to select specific management indicators that relate to each management area. This step usually provokes a lot of discussion. This discussion is important, as it allows staff and other stakeholders to learn more about management, examine the organization in greater detail, and build commitment to and participation in the process of organizational development.

You may select more management indicators in some management areas than in others. The number you select will depend on the importance you place on the management areas and the difficulty or ease you have in identifying appropriate information for the indicators. The accompanying *Pocket Guide to MDA Indicators* provides sample management indicators that you may use or modify to suit your organization's programs and priorities. Below, you will find examples of key indicators that have been used conducting management development assessments in organizations in Bangladesh and Turkey.

Key Management Indicators Selected for Each Management Area	
Management Area	Management Indicators
<b>Mission and Plans</b>	Organizational Mission Statement Formulation of Program Objectives Annual and Long-Term Planning
<b>Leadership</b>	Decision Making and Delegation Introduction of Change Leaders' Experience and Competence
<b>Organizational Structure and Lines of Communication</b>	Organizational Structure Formalized Management Practices Reporting and MIS External Communications
<b>Financial Management</b>	Financial and Accounting Procedures Financial Stability
<b>Human Resource Management</b>	Job Descriptions and Responsibilities Staff Supervision Staff Training and Development Personnel Policies
<b>Community Participation</b>	Community Contributions Membership

## Establishing Reference Criteria for Each Indicator

The last step in developing a management map is to establish reference criteria for each management indicator according to each stage of development. Reference criteria are the statements that define the situation, skill level, or ability related to a specific management indicator for each stage of development. Establishing reference criteria gives you a baseline against which you will compare actual management

capabilities and track future progress. *For instance, under the management area of Mission and Plans, for the management indicator "Organizational Mission Statement," the reference criterion for the launch stage might be "A mission statement exists but is known only by senior staff," for the growth stage it might be, "A mission statement exists but is not well known among staff," and for the mature stage, "A mission statement is in place, is well known, and is used as a guide for planning."*



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The reference criteria for the indicators are generally qualitative and should be:

- Different for each stage of management development;
- Easily observable by watching or discussing what people do or know; or
- Easily verifiable by examining records and other documents.

The accompanying *Pocket Guide to MDA Indicators* provides you with sample reference criteria for a range of management indicators that have been used in management assessments. In developing a preliminary management map for your organization

you can use these criteria as a guide and modify them so that they are appropriate to your organization and program setting. For a sample preliminary management map derived from the *Pocket Guide*, please refer to pages 6–10 of the accompanying supplement, *The MDA Start-Up Kit*.

In selecting or modifying the reference criteria, you should work with other key members of the organization to choose criteria that are reasonable for an organization in your country to exhibit at the launch, growth, and mature stages of development. The following guidelines will help you to modify the reference criteria so that they are appropriate for your organization.

### Guidelines for Developing or Modifying Reference Criteria

**Reference criteria should be prepared by a team.** Working in a team provides a broader view of the organization and brings in more information for discussion, particularly with regard to other kinds of organizations that team members may be familiar with. A team will have a wider range of knowledge and experience to use in identifying characteristics for each indicator in the launch, growth, and mature stages.

**Reference criteria should be qualitative.** They should describe what the management system or skill is able to do, how it is being applied, or what kinds of results it produces. Since they are descriptive they generally cannot be added, averaged, or statistically analyzed. Occasionally criteria may include such numeric information as the number of meetings held or reports produced, amount of revenue generated, or number of clients served, but these numbers still refer to qualitative information, and in the MDA, these numbers will not be used for making calculations.

**Reference criteria should be distinct for each stage of development.** You should be able to clearly differentiate the criteria between the launch, growth, and mature stages, and the criteria for each successive stage should show a significant increase in complexity and outputs. As an organization progresses through the three stages, it should be apparent that staff are using more sophisticated tools or techniques, that they are applying them in new ways, or that they are producing or using results in new ways. *For example, a simple financial management system might use a double-entry accounting system, whereas a more complex system might use a chart of accounts in addition to a double-entry accounting system. Outputs of a more mature human resource management system would include regular, updated job descriptions, as well as written staff performance reviews and plans.*

**Reference criteria should be realistic, observable, and verifiable.** Reference criteria should be easily observable in the course of your work; if they are too obscure then they are probably unrealistic. The choice of reference criteria should help you to observe people in action using systems, tools, and techniques, or allow you to determine results or uses by referring to documents such as minutes of meetings and reports.

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When you have filled in the reference criteria for each indicator and for each stage of development, you will have a preliminary management map to guide you in assessing your organization's management capabilities. These reference criteria will become the baseline against which you will compare your progress and determine objectives for strengthening your organization's management capabilities. If your reference criteria are described in sufficient detail, you will be able to measure the relative strength or weakness of your current management capabilities for each management indicator. As noted earlier, you may find that for one management indicator you are in the launch stage, and that for another you are in the growth stage. This is normal. Rarely will an organization's management capabilities fall entirely in one stage of development.

## Step 2

### Develop and Administer the MDA Questionnaire

Once you have developed your preliminary management map, the next step is to collect information about the existing management capabilities of your organization. Collecting information provides an opportunity for discussing major management issues with executives, technicians (such as clinical and program staff who provide services, manage clinics, conduct field work, counsel clients, etc.), and administrative staff (such as office managers and accountants).

The best way to collect the information is to develop a questionnaire. Using a questionnaire allows you to collect and compile the information systematically, keeps you focused on the most important information, and helps you to organize the information you collect so that you can analyze it more easily. When you use a questionnaire, it will also be easier to ask about sensitive subjects such as

leadership, since you can think in advance about how to ask the questions in a non-threatening or non-confrontational manner. The completed questionnaire can also serve as a record for verifying information.

Because the MDA is designed to be a rapid assessment, you will use the questionnaire to collect information from a small, representative group of people in the organization rather than conducting a large-scale survey. For instructions on preparing and administering an MDA questionnaire and a sample questionnaire, please refer to the accompanying supplement, *The MDA Start-Up Kit*.

## Step 3

### Analyze the MDA Survey Results

After collecting the information, you are ready to assess the current management capabilities in your organization. Analyzing the results of the MDA survey will help you to see what stage of development your organization is in for each management indicator, where your organization's strengths and weaknesses lie, and what specific actions you can take to improve management capabilities in your organization.

When you have completed your interviews you will have a lot of information to analyze. Having a well-designed questionnaire will help you to analyze the information more easily since it will be organized systematically. To analyze the information you should proceed in a systematic fashion by:

- Summarizing the information from the questionnaire;
- Finalizing the post-survey management map by categorizing the summary information into launch, growth, and mature stages;
- Preparing the results for feedback;
- Presenting and discussing the results with staff.

## Summarizing Information from the Questionnaire

First, you need to transfer the information from each questionnaire onto summary forms, which will help you to organize and summarize the information by management area and indicator. Since the information on the questionnaire has been written down during the interview, it may have been written in a rush, in shorthand, and may be illegible except to the note-taker. This step allows you to review the information systematically and write it out neatly so that others on the team can read it. It also provides an opportunity to carefully review the information and to check it against the documentary evidence to verify that it is correct. Once you have summarized the information it will be easy to review and analyze.

You should have one summary form for each management area. Fill in the management area and the date at the top of the form as shown in the example below. Then for each question in the survey, consider all the answers given to that question and write a brief summary of the answers on the form. For some questions you may find a range of responses. In this case, group similar responses together in one statement and note the number of people included in that statement. You will generally have several statements relating to one question. The following Sample Summary Form illustrates how to summarize the information on the forms.

<b>Sample Summary Form</b>		
<b>Management Area:</b> <u>Mission and Plans</u>		<b>Date:</b> <u>12/20/96</u>
Management Indicator	Question Number(s) on Questionnaire	Data from Questionnaire
<i>Organizational Mission Statement</i>	1	<i>A mission statement exists for the organization.</i>
	2	<i>Interviewees have not seen the mission statement, and do not know the main points. (3 people)</i>
		<i>Interviewee has seen the mission statement, but does not know it well. (1 person)</i>
		<i>Interviewee has seen the mission statement and was able to summarize it. (1 person)</i>
<i>Formulation of Program Objectives</i>	3	<i>Program objectives exist but are not widely known. Some are not directly related to the mission statement.</i>
<i>Annual and Long-Term Planning</i>	5	<i>An annual plan exists for organizational activities, but long-term strategic planning is not conducted.</i>

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## Finalizing the Post-Survey Management Map

The post-survey management map gives you a profile of your organization's current management capabilities by showing the actual level of management capability and the stage of development of the organization for each management indicator. (Please refer to the Sample Post-Survey Management Map shown on the following page.)

To complete the map, you will review and categorize the information on the summary forms according to the three stages of development. Use the summary form to review the responses to each question from the questionnaire. Then, for each question, develop a statement that best summarizes all the responses to that question. Compare this statement against the baseline reference criteria on your preliminary management map and note which stage the statement most closely reflects. Then, rewrite the statement on a new blank management map (similar to the preliminary management map that you developed for launch, growth, and mature stages, except instead of entering the reference criteria as you did for the preliminary management map, enter the *actual* situation based on the information you have collected). Proceed in this fashion until all the answers from the questionnaire related to each indicator have been summarized into statements and entered on the new post-survey management map. Frequently, you will find that it is possible to formulate one summary statement for several questions relating to one indicator. *For example, the statement shown on the Sample Post-Survey Management Map for the indicator "Organizational Mission Statement" is a summary of the four entries on the Sample Summary Form relating to that indicator.*

Note: If you find that there are significant variations in responses to a question, you may need to develop two different summary statements and indicate how many responses each statement represents.

Once you have completed the post-survey map, the profile of your organization begins to emerge. You can quickly see a pattern forming that will show where your organization is on the continuum of management development. Looking at each indicator individually, you can begin to compare various management capabilities and determine how many and which ones are in an early or more advanced stage of development.

**Verify that the information is accurate.** Since it is possible to occasionally misunderstand or to record information incorrectly during interviews, you should review the new post-survey map with one or two colleagues who were involved in the assessment. This will help you catch errors and correct any misinterpretations. Together you should consider the following questions:

- Are the statements consistent with what you and others know about the organization?
- Are there any errors due to mistakes in entering the information, in interpreting what was heard during the interview, or in verifying information from existing documents?
- Did you miss important information that would change a statement on the map to refer to a higher or lower stage of development?

After reviewing your post-survey management map, make any necessary corrections to finalize the map.

<b>Sample Post-Survey Management Map</b>			
<b>Management Indicator</b>	<b>Launch Stage (Data from Survey)</b>	<b>Growth Stage (Data from Survey)</b>	<b>Mature Stage (Data from Survey)</b>
<b>Management Area: Mission and Plans</b>			
<u>Organizational Mission Statement</u> Formulation of Program Objectives Annual and Long-Term Planning		<i>A mission statement exists but is not generally known and is not used to guide decisions.</i>	
<b>Management Area: Leadership</b>			
<u>Decision Making and Delegation</u> Introduction of Change Leaders' Experience and Competence	<i>Only the executive director attends meetings with outside organizations.</i>	<i>The executive director and senior staff make decisions about staffing and program management.</i>	
<b>Management Area: Organizational Structure and Lines of Communication</b>			
<u>Organizational Structure</u> Formalized Management Practices Reporting and MIS External Communications		<i>Organizational chart shows supervisory relationships but relationships are not always followed.</i>	
<b>Management Area: Financial Management</b>			
<u>Financial and Accounting Procedures</u> Financial Stability		<i>Financial records are maintained for all donor-supported projects.</i>	
<b>Management Area: Human Resource Management</b>			
<u>Job Descriptions and Responsibilities</u> Staff Supervision Staff Training and Development Personnel Policies		<i>Job descriptions exist but are out of date for administrative staff and those for technical staff have not been reviewed in 2 years.</i>	
<b>Management Area: Community Participation</b>			
<u>Community Contributions</u> Membership	<i>Receipt of membership fees is irregular and volunteer activity is sporadic.</i>		

(Note: In this example the sample data refer only to the management indicators that are underlined.)



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## Preparing the Results for Feedback

As part of your preparation for developing an MDA action plan (Step 4 in the MDA Cycle), you should formally communicate the results of your analysis to the rest of the organization. Until now, you may have conducted the analysis among only a small group of people. Now you need give all the staff in the organization the opportunity to become more involved. The best way to do this is by making a formal presentation and encouraging in-depth discussions about the meaning of the results and what specific management areas the organization should focus on strengthening.

**Summarize areas of strength and weakness based on the management map.** As a general principle, you should give equal attention to both strengths and weaknesses. Many organizations grow unevenly over time with some systems or skills progressing faster than others. The experience from having developed these skills or systems can help in strengthening others. In reviewing the post-survey management map, you may find that some of your organization's management capabilities are in the launch stage (indicating areas that should be strengthened) and others are in the growth or even mature stages. What is important here is to look at your organization's strengths and weaknesses so that you can determine a course of action for building on the strengths and increasing capabilities in the weaker management areas.

## Presenting and Discussing the Results

When making your presentation, you should briefly review the process you followed in conducting the MDA and summarize the results of the survey. It is helpful to prepare flip charts, handouts, or other visual materials to illustrate your points and conclusions. Providing an opening summary of the

goals and objectives of the management development assessment, the process you undertook, and the major indicators you measured will help people understand how you arrived at your conclusions. The feedback session provides an excellent opportunity to reinforce their understanding of and interest in management development.

**Open the door to discussion.** If you create an open, receptive atmosphere, you will gain the interest of the staff and they will be engaged in asking questions and raising issues concerning the management development assessment. During discussion sessions, you may modify the results based on staff input, which should help you come to stronger conclusions about prioritizing areas for improvement. Use these discussions to emphasize how current management capabilities affect the ability of the organization to achieve goals, improve performance and the quality of services, introduce innovative and more efficient and cost-effective services, and attract and sustain resources. Focusing on these issues reinforces the fact that building management capabilities is a necessity rather than an option.

**Create ownership of the results.** Completing this step provides an opportunity for the entire organization to take ownership of the idea and practice of conducting management development assessments as a means of building management capabilities. You should solicit broad participation from staff in reviewing the results and drawing conclusions about steps the organization should take in improving its management capabilities. This will enrich the results and deepen the analysis. More importantly, it will increase the commitment of the staff in developing and implementing an action plan to strengthen the management and sustainability of the organization.

## Step 4

### Develop the MDA Action Plan

The final step in the MDA cycle is to develop and implement an action plan. You now know where your organization is on the management development continuum for different management areas, and you should know which management areas you need to strengthen to advance the organization to the next stage of development. By comparing your post-survey management map with your preliminary management

map you will know for each management indicator the current level of management capability, the desired level of capability, and what needs to be strengthened in order to achieve the next level of capability. These results provide the basis of your management development action plan.

The following Sample MDA Action Plan shows, for a hypothetical organization, the main areas of strength and weakness, recommendations, specific actions the organization plans to implement, as well as over what period of time the skills or systems development will take place, and whose responsibility

Sample MDA Action Plan					
Strengths	Weaknesses	Recommendations	Action	Timing	Person(s) Responsible
<b>Management Area: Mission and Plans</b>					
Board of directors and senior staff have an understanding of the need for a mission. Organization has undertaken projects that support the organizational mission. Annual plan exists for organizational activities.	The mission statement has not been communicated throughout the organization. Long-term strategic planning is not conducted.	Establishment of an organizational planning framework (strategic or long-term plan) will enable the organization to clearly identify its priority goals and specify activities to reach those goals.	Conduct orientation sessions to orient organization's leaders on strategic planning. Establish an internal team to take charge of developing the strategic plan.	This action should be carried out over a 1-2 year period as part of a comprehensive strategic planning process.	The board of directors is responsible for overseeing this action. The planning team is responsible for carrying it out.
<b>Management Area: Leadership</b>					
The executive director and senior staff make decisions about staffing and program management.	Only the executive director represents the organization in meetings with outside organizations. Board and executive director take initiative to expand activities independent of donors.	Senior and technical staff should attend meetings with outside organizations so that they can expand their knowledge and experience in program areas for which they are responsible.	Draw up calendar of planned meetings with outside organizations and indicate the staff who should attend those meetings.	As soon as possible.	The executive director and senior staff should collaborate on this activity.

<b>Sample MDA Action Plan</b>					
<b>Strengths</b>	<b>Weaknesses</b>	<b>Recommendations</b>	<b>Action</b>	<b>Timing</b>	<b>Person(s) Responsible</b>
<b>Management Area: Organizational Structure and Lines of Communication</b>					
An organizational chart exists and clearly identifies supervisors for all staff.	Lines of communication between supervisors and personnel are not respected.	The organization should develop a clear policy regarding the role, functions, and tasks of supervisors and should prepare procedures for carrying out supervisory functions.	Develop plan for reviewing and modifying supervisory roles and responsibilities.  Incorporate modifications of supervisory roles and responsibilities into personnel policy/manual.	Review and modification of supervisory roles and responsibilities should take place over the next 12 months.	The personnel or human resources manager should be in charge of this activity.  The executive director should oversee this process.
<b>Management Area: Financial Management</b>					
Financial records are maintained for donor-supported programs and an annual audit takes place.  The organization covers 7% of costs of the family planning program.	The external audit identified 5 problems in the family planning program.  No financial sustainability plan has been developed.	The organization should develop a financial sustainability plan (as part of the planning process) to increase self reliance.  The organization should review program activities and operations to find ways of bringing about cost efficiencies without compromising program objectives.	Identify feasible activities for income generation.  Develop a long-term financial plan to relate organizational program expenditures to income from donors, revenue-generating activities, and other sources.  Correct all problems identified by the external audit.	These activities should be carried out over a 1-2 year period and linked with the overall development of a strategic plan.	The board of directors should oversee this process.  The executive director should be in charge of organizing the process.  The financial director should be in charge of technical support to the process and be responsible for correcting audit problems.

*continued on next page*

Sample MDA Action Plan					
Strengths	Weaknesses	Recommendations	Action	Timing	Person(s) Responsible
<b>Management Area: Human Resource Management</b>					
<p>Job descriptions exist for all staff.</p> <p>In-service and on-the-job training are provided to all staff.</p>	<p>Job descriptions are out of date for administrative staff and those for technical staff have not been reviewed in 2 years.</p> <p>Performance reviews are not conducted regularly.</p> <p>The organization has not developed a training plan.</p>	<p>The organization should undertake a comprehensive review of all job descriptions, compare them with current and anticipated job responsibilities, and update job descriptions as necessary.</p> <p>The organization should make the development of a training plan a priority.</p>	<p>Develop timetable for reviewing and updating job descriptions.</p> <p>Use new job descriptions as the basis for performance reviews.</p> <p>Conduct a training needs assessment of all current technical and administrative personnel.</p> <p>Develop a training plan for short- and long-term training on the basis of the training needs assessment.</p>	<p>Review and revision of job descriptions should take place over the next 6 months.</p> <p>This is a long-term activity and should be carried out over a 1-2 year period.</p>	<p>This should be overseen by the executive director and the personnel director.</p> <p>The training needs assessment and training plan should be carried out by the training manager in collaboration with an external consultant.</p>
<b>Management Area: Community Participation</b>					
<p>General membership has increased.</p> <p>Annual general meeting and elections for the board of directors are held regularly.</p> <p>Composition of board of directors is diversified.</p>	<p>Membership fees are not collected on a regular basis.</p> <p>Less than 10% of the organization's clients are willing to pay fees for services.</p> <p>Volunteer activity is sporadic.</p>	<p>The organization should emphasize integrating community members in its program activities.</p>	<p>Encourage the board of directors to promote voluntary activity among community members.</p>	<p>These activities should be initiated over the next 3 months.</p>	<p>The executive director should work with the board to advocate voluntary service from the community.</p>

## Managing Change and Implementing the Action Plan

The management development process is a major undertaking in organizational change. Although improving management capabilities is a highly desirable goal, as with any potential change, there is likely to be some resistance. In addition, there is a cost attached to improving management capabilities. You may need to introduce new equipment, train staff, and slow down program activity during the time that the organization's

attention is focused on improving its management. You must address these potential obstacles from the outset.

**Secure commitment of leadership.** The leadership of the organization should lead the effort. This could be the executive director or program director. When you are in this role, you must also have the support of other major stakeholders, including the board of directors. As you take steps to improve management capabilities, there will be difficult decisions regarding the use of human and financial resources. Without the commitment

and active engagement of leadership, efforts will slow down or may not be taken seriously.

**Set priorities for making improvements.** The results of a management development assessment often show many areas that need to be addressed. An organization cannot tackle all of the weaknesses at the same time. Focus on what is most practical and achievable given the available human and financial resources, and prioritize areas where improvements can have a multiplier effect. *For example, improving management information systems can have a simultaneous impact on financial systems. Improvements in*

*both these systems will affect your planning and monitoring capability and enable you to think about improving program performance and cost efficiencies.*

**Allow sufficient time to develop management capabilities.** Realistic expectations are often the key to management success. While you may hope that a mature organization lies just over the horizon, sustained change takes time. Improvements are often incremental and cumulative. A realistic time frame will prevent needless disappointments during the period needed to introduce, test, and apply new skills and systems before you see the impact on performance and quality of services.

## Taking Action to Build Management Capabilities

There are many strategies that you can use to build and strengthen management capabilities. You need to select those that will be cost-effective, produce long-lasting results, and become catalysts for other actions and improvements. Some of these are suggested below.

**Make changes that do not require additional funding.** There are some changes the organization can make that require commitment from staff and leadership rather than additional funds. For example, you can develop standard procedures for managing information and accounting for expenditures, and prepare job descriptions to improve supervision. You can also use staff who have had management training more effectively by promoting them and giving them appropriate managerial responsibilities and authority, a change that will incur little extra cost.

**Collaborate with other organizations.** Calling on skilled colleagues from sister organizations is another way to bring new ideas and systems into your organization. Actively seeking participation in training and other management development activities organized by sister organizations or donors can provide free or low-cost access to expertise needed to develop new management skills and systems.

**Seek local technical assistance.** Technical assistance from local consultants may be required, particularly when your management development action plan calls for improving such management systems as finance and information. Local consultants can also be helpful in improving the organization's structure, providing leadership training, or developing more effective roles and functions for board members and executive staff.

Since technical assistance can be costly, efforts should be made to find appropriate services that the organization can afford. In many countries there are competent and experienced local consultants in many management areas who can be contracted to help implement the management development action plans. If you have a computer and are connected to the Internet, you may be able to access a broader range of individuals or organizations with expertise for improving management systems. One place to start is to search FPMD's "Member Database" on its Electronic Resource Center (ERC). The ERC can be found on the FPMD Web site on the Internet at the following URL address: <http://erc.msh.org>.

**Acquire new technology.** In developing more complex and higher-performing management systems, you also need to consider installing modern technology, which may mean purchasing new equipment such as computers, and developing or acquiring skills to maintain the technology. This may require a significant investment but if there is commitment to using these new tools, the return on the investment will be worth it. If you decide to introduce new technology, you should be sure to include training in your action plan so that staff will use the new technology to its fullest potential.



## Making the MDA an Ongoing Activity

The MDA process should be integrated into regular organizational operations as part of an annual or bi-annual planning process and as a way to evaluate the success of your organization's efforts to strengthen its management. Having already conducted the MDA once, you will only need to update the preliminary management map and the questionnaire if you think it is necessary. For example, you may decide to add some new management indicators that you had not analyzed the first time, which would mean adding a few new questions to the questionnaire. By conducting an MDA at regular intervals, you will be able to see how the organization has strengthened over time and keep track of what needs to be done to further develop the organization as a whole so that it becomes mature and sustainable.

Even organizations that reach the mature stage cannot sit back and relax. They also face challenges that require them to continually develop their manage-

ment capabilities. As a manager, you must ensure that your organization's mission and strategies address both the present and future needs of the population you serve, and that they are realistic and compatible with national and global trends and priorities. You must adopt a business-minded approach, focusing on developing cost-efficient services that reach well-defined populations while continuing to provide high-quality services to all clients. You need to develop strategies for integrating financial planning and program planning and for diversifying your funding base so that the organization doesn't become overly dependent on only a few sources of funds. Finally, you need to establish human resource management systems that permit and encourage innovation, creativity, and sound decision making among employees at every level.

By knowing your organization's management capabilities and taking action to strengthen specific management skills and systems, you can ensure that your organization will become stronger and more sustainable within an increasingly competitive and demanding service delivery environment.

### Reviewers' Corner

*A forum for discussing additional application of FPM concepts and techniques*

**On the importance of gaining the commitment of key decision makers . . .** *One reviewer stresses,* "There is a need for key decision makers in the organization to appreciate the need for change. When you can get their total commitment to the process it will help to ensure that the recommendations are implemented."

**On integrating the MDA into the strategic planning process . . .** *One reviewer suggests,* "For those organizations that conduct regular strategic planning, the MDA should be conducted as part of the background to strategic planning."

**On using the MDA in the public sector . . .** *One reviewer advises,* "The management of health services in sub-Saharan Africa is involving communities more and more under what is currently called the 'Bamako Initiative' in which each health center is aiming to become an autonomous entity run by a Health Management Committee. The Committee plays an important role in planning and monitoring the use of resources (human, material, and financial). This tool could be adapted for use at the health center level considering that the health center is run by the community as an organization. In this situation, community participation as a management area could be broadened to assess the planning and management capacity of the Committee in addition to community contribution and diversity."

**On the significance and benefits of the MDA . . .** *One reviewer emphasizes,* "The MDA is a *must* for any organization that hopes to survive the current competitive environment. The beauty of the MDA concept and tool is that with adequate practice it can be conducted successfully by the staff of the organization with little or no external assistance. That, in itself, is cutting costs, building internal capacity, and increasing awareness of the need for sustainability."



## Checklist for Assessing Management Capabilities

- Familiarize yourself and your staff with the concept of the management development continuum, the management characteristics of organizations in the different stages of development, and the steps for conducting an MDA.
- Gain the commitment of senior management for conducting an MDA, including the board of directors and other key stakeholders.
- Develop a core team that will be responsible for conducting the MDA, analyzing and presenting the results, soliciting input from key stakeholders, and developing the action plan.
- Develop a preliminary management map by defining the management indicators for each management area and the reference criteria for each indicator according to each stage of development.
- Design and field test the MDA questionnaire based on the indicators in the preliminary management map.
- Administer the questionnaire.
- Analyze the survey findings, develop a post-survey management map of your organization, and obtain feedback from staff.
- Identify areas for improvement based on your MDA findings.
- Present the results of your analysis to other members of your organization and discuss their concerns openly.
- Prepare an MDA action plan for your organization.
- Implement the action plan.
- Institutionalize the MDA process in your organization so that assessments are conducted annually or bi-annually.

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The

# Family Planning Manager

CASE SCENARIOS FOR TRAINING AND GROUP DISCUSSION

## Dostluk Health Services Assesses Its Management Capabilities

Mrs. Byrkit, Executive Director for Dostluk, a non-governmental organization delivering reproductive health and family planning services, looked around the table at the group that was chatting over fresh cups of coffee. The group included Mr. Zencirli, founder of Dostluk and a member of the board of directors, Dr. Aytug, one of the clinicians who worked in two of the organization's four clinics, Ms. Mubarek, a nurse who managed client follow-up, and Mr. Eksen, the Finance Officer. Dostluk had recently decided to systematically assess its management capabilities in order to plan for the changes they were making within their organization. A new donor had given Dostluk funds to add a community outreach program and they were determined to be prepared for the necessary changes as they expanded the organization. The group was gathered to look at the results of the survey they had used to collect information from their staff about their management capabilities and systems and to develop a plan for Dostluk's growth and for improving their management based on their findings.

Mrs. Byrkit cleared her throat, "Shall we get started? We have quite a bit of information to go over today. Everyone should have a copy of the preliminary management map and the questionnaire that we prepared. You also should have received a complete set of summary forms indicating the responses from the survey. I suggest that we review both today and think about some of our strengths and weaknesses and where we should go from here. In order to keep us focused, I suggest that we consider

each of the management areas and think about the preliminary management map that we developed, as well as the information from the summary forms. Let's consider the information about the management area Mission and Plans first."

"Well Dostluk has had a mission statement since it was founded," responded Mr. Zencirli, "but I was surprised to see that the responses from the survey indicate that very few staff actually know that we have one, and for the most part, those who are aware that a mission statement exists don't know what it is. I hadn't realized it before, but perhaps the only place where it is stated is in the organization's charter."

"This sounds like something we might want to include in our strategic planning process," said Dr. Aytug, "now that we are looking beyond our annual workplans and looking towards Dostluk's future."

"Where do you think we stand in the area of decision making and delegation?" asked Mrs. Byrkit.

"Well, the fact that we are meeting as a team certainly indicates that decision making has become more of a participatory process," replied Ms. Mubarek. "I think this is an area in which we've really started to improve over the last year, especially because as a team we have started thinking about the future and we have been looking at our policies more closely."

"That's true," added Dr. Aytug, "but I'm sure we could do more to involve staff from all areas of the organization as we think about making changes to existing policies and implementing new plans. For

## Case Scenario: Dostluk Assesses its Management Capabilities

example, we should ask our drivers how we can improve on the management of our vehicles.”

“I thought that the responses in the area of organizational structure and lines of communications were interesting,” said Mr. Eksen. “While we do have written procedures for reporting to our donors, we don’t have any kind of manual for day-to-day operations. We certainly have written up a number of procedural memos and distributed them to each one of the clinics, but they have never been compiled in a single document that can be updated as we make changes. The survey revealed a real absence of written guidelines that are easy for staff to refer to and to follow. It is hard for staff to follow procedures and keep track of changes if we don’t provide everyone with the same information that we can all refer to. I know there was a problem when Mrs. Boztok retired from the accounting department. She had a number of the procedures in her head and her successor had a hard time trying to piece them together.”

“I thought there were some interesting results in the area of human resource management,” said Ms. Mubarek. “I was surprised to see that although most of the staff knew that a written job description existed for every position, they had never been involved in reviewing or revising them with their supervisor. I’m sure that many of them need to be updated as we expand to incorporate outreach services and as staff are asked to take on new or different responsibilities. Perhaps part of the problem is that our supervisory system doesn’t always relate to our programs and supervisors are not always looking at performance requirements. This also made me think about the opportunities we may have been missing for developing the skills of our staff. While we’ve been very successful at keeping our staff turnover fairly

low, the only people who receive any on-the-job training are new employees. Maybe we take our staff too much for granted. Remember when we lost Miss Zeynep? I think we could have kept her if we had offered her some interesting training.”

“While we are discussing that area, I was struck by the fact that although every person on the staff has a personnel file, they are not maintained on a regular and systematic basis,” offered Mr. Zencirli. “Apparently the files were very inconsistent—while some of them had a job application, curriculum vitae, and a joining letter, others only contained a curriculum vitae.”

Mrs. Byrkit sighed. “Ah yes. I had such a difficult time when we discovered that staff had been complaining about Mr. Sener for years and yet there was absolutely no record of any problems or complaints in his personnel files.”

“What about our financial management?” asked Mrs. Byrkit.

“Of course I’m biased,” said Mr. Eksen, “but I think we are doing fairly well in that area. We have been having a biannual audit performed by an outside company for the last four years and they have consistently revealed that our accounting practices are quite sound.”

“Will we have to make any changes now that we have expanded to two donors?” asked Mr. Zencirli.

Mr. Eksen smiled, “Well, we will have to be careful about meeting the different requirements of our donors, but I’m sure that we will be in compliance.”

“Good,” replied Mrs. Byrkit. “Does anyone have any observations about community participation?”

## Case Scenario: Dostluk Assesses its Management Capabilities

“I know we have been accused of elitism by some and it makes me wonder,” pondered Dr. Aytug. “We have always assumed we know what the community needs, but do we really know? We have never really met with the leaders in the community and our relationship with the community is quite limited. Our clients come from the community, but I don’t think we’ve tried hard enough to find out what the community thinks of us and what services they would like to see us providing. This may explain why the community doesn’t seem to be very interested in working with us to improve our services. I think that getting two community members serving on the board of directors was a good first step, but it is not enough. I think we need to be more creative about how to

mobilize community resources. Our new community outreach program provides a real opportunity to do just that.”

“We need to develop a post-survey management map to help us get started with the next steps,” said Mrs. Byrkit. “I’ve been taking notes during our discussion. First I’d like to discuss one or two indicators for each management area. Looking at the summary forms and the preliminary management map I handed out, I think we can develop our post-survey management map. This post-survey management map will help us to share the results with the rest of the organization and get them involved in thinking about what we need to do to move to the next stage in our development.”

## Case Discussion Questions: Dostluk Assesses Its Management Capabilities

1. Using information from the case, the summary forms, and Dostluk’s preliminary management map (provided on the following pages), develop a post-survey management map (on page 8) to show which stage of development Dostluk is in for each management indicator listed in the post-survey management map.
2. What does Dostluk need to do to strengthen its management capabilities? As a first step in developing an action plan for Dostluk, for each management indicator, suggest at least one priority action that could be taken to move Dostluk to the next stage of development. Make sure that the actions are feasible and cost effective.



## Meeting Handout: Summary Forms

<b>Summary Form</b>		
<b>Management Area:</b> <u>Mission and Plans</u>		<b>Date:</b> <u>1/20/97</u>
Management Indicator	Question Number(s) on Questionnaire	Data from Questionnaire
<i>Organizational Mission Statement</i>	1	<i>A mission statement exists for Dostluk.</i>
	2	<i>Interviewees have not seen the mission statement, and do not know the main points.(5 people)</i>

<b>Summary Form</b>		
<b>Management Area:</b> <u>Leadership</u>		<b>Date:</b> <u>1/20/97</u>
Management Indicator	Question Number(s) on Questionnaire	Data from Questionnaire
<i>Decision Making and Delegation</i>	7	<i>Managers and some program staff are involved in decision making. (4 people)</i>
	7	<i>Founder and member of board of directors involved in decisions surrounding major problems. (5 people)</i>

<b>Summary Form</b>		
<b>Management Area:</b> <u>Organizational Structure and Lines of Communication</u>		<b>Date:</b> <u>1/20/97</u>
Management Indicator	Question Number(s) on Questionnaire	Data from Questionnaire
<i>Organizational Structure</i>	15	<i>The supervisory system is not based on program strategies and performance requirements. (4 people)</i>
<i>Formalized Management Practices</i>	16	<i>Written procedures don't exist in any systematic form for daily operations. (6 people)</i>

## Meeting Handout: Summary Forms (*continued*)

<b>Summary Form</b>		
<b>Management Area:</b> <u>Financial Management</u>		<b>Date:</b> <u>1/20/97</u>
Management Indicator	Question Number(s) on Questionnaire	Data from Questionnaire
<i>Financial and Accounting Practices</i>	19	<i>An external audit is conducted for the entire organization bi-annually. (4 people)</i>
<i>Financial Stability</i>	23	<i>The donor base has recently expanded from one donor to two. (4 people)</i>

<b>Summary Form</b>		
<b>Management Area:</b> <u>Human Resource Management</u>		<b>Date:</b> <u>1/20/97</u>
Management Indicator	Question Number(s) on Questionnaire	Data from Questionnaire
<i>Job Descriptions and Responsibilities</i>	26	<i>Job descriptions aren't updated regularly and systematically.(5 people)</i>
<i>Staff Training and Development</i>	35	<i>Training opportunities are provided only for new staff. (6 people)</i>

<b>Summary Form</b>		
<b>Management Area:</b> <u>Community Participation</u>		<b>Date:</b> <u>1/20/97</u>
Management Indicator	Question Number(s) on Questionnaire	Data from Questionnaire
<i>Community Contributions</i>	40	<i>Dostluk is not collaborating with any other NGOs. (5 people)</i>
<i>Institutionalization of Community Participation</i>	48	<i>There are two community members currently serving on Dostluk's board of directors. (3 people)</i>

## Meeting Handout: Preliminary Management Map

<b>Dostluk's Preliminary Management Map</b>			
<b>Management Indicator</b>	<b>Reference Criteria</b>		
	<b>Launch Stage</b>	<b>Growth Stage</b>	<b>Mature Stage</b>
<b>Management Area: Mission and Plans</b>			
<b>Organizational Mission Statement</b>	Mission statement does exist but is known only by senior staff and donors.	Mission statement exists but is not well known among staff.	All employees and members of the board are familiar with mission statement.
<b>Annual and Long-Term Planning</b>	Annual plan exists.	Long-term project plans are based on the program needs that have been identified.	Long-term plans are based on strategic plan.
<b>Management Area: Leadership</b>			
<b>Decision Making and Delegation</b>	Founding member(s) make decisions on programs and significant problems without discussing with senior management or board of directors.	Founding member(s) and senior management make decisions about programs and significant problems.	Founding member(s), senior management, and board of directors make decisions on programs and significant problems.
<b>Leaders' Experience and Competence</b>	Organization follows policies and plans established by donor.	Organization makes modification to policies and implements new plans.	Organization leaders (board of directors and managers) anticipate future needs of the organization and use strategic planning to plan for the future.
<b>Management Area: Organizational Structure and Lines of Communication</b>			
<b>Organizational Structure</b>	Organizational structure is based on supervisory structure.	Organizational structure is based on program strategies.	Organizational structure is reviewed regularly to ensure consistency with program strategies.
<b>Formalized Management Practices</b>	Procedures exist but have not been collected in an operations manual for the organization.	Guidelines have been developed for general operations and are followed as required by donors.	General operating manual is reviewed and revised on a regular basis for all organizational activities.

## Meeting Handout: Preliminary Management Map (*continued*)

<b>Dostluk's Preliminary Management Map</b>			
<b>Management Indicator</b>	<b>Reference Criteria</b>		
	<b>Launch Stage</b>	<b>Growth Stage</b>	<b>Mature Stage</b>
<b>Management Area: Financial Management</b>			
<b>Financial and Accounting Procedures</b>	Organization has had an audit performed by an external company only once.	External audit takes place every two years for organizational activities.	External audit takes place annually.
<b>Financial Stability</b>	No plan exists for financial sustainability. There is only one source of funds.	Plan exists for financial sustainability, but it is not followed consistently. There are two sources of funds.	Financial sustainability plan is followed consistently.
<b>Management Area: Human Resource Management</b>			
<b>Job Descriptions and Responsibilities</b>	No written job descriptions exist.	Job descriptions exist for only some of the staff.	Job descriptions exist and are up-to-date for all staff.
<b>Staff Training and Development</b>	No in-service or on-the-job training exists.	In-service and on-the-job training take place, as recommended and funded by the donor.	In-service and on-the-job training provided on the basis of organizational training needs.
<b>Personnel Policies</b>	No personnel files exist for staff members.	Personnel files exist for all staff but they are not maintained properly.	Personnel files are complete and up-to-date.
<b>Management Area: Community Participation</b>			
<b>Community Contributions</b>	No voluntary activity takes place.	Community provides a limited amount of voluntary service for specific activities on a limited basis.	Community provides regular voluntary services on specific programs or activities at least once a year.
<b>Membership</b>	More than 70% of board of directors are family or relatives.	Less than 70% but more than 20% of board of directors are family or relatives.	Less than 20% of board of directors are family or relatives.

### Case Discussion Questions: Dostluk Assesses its Management Capabilities

- Using information from the case, the summary forms, and Dostluk's preliminary management map, develop a post-survey management map to show which stage of development Dostluk is in for each management indicator listed in the post-survey management map.

<b>Post-Survey Management Map</b>			
<b>Management Indicator</b>	<b>Reference Criteria</b>		
	<b>Launch Stage (data from survey)</b>	<b>Growth Stage (data from survey)</b>	<b>Mature Stage (data from survey)</b>
<b>Management Area: Mission and Plans</b>			
<b>Organizational Mission Statement</b>			
<b>Annual and Long-Term Planning</b>			
<b>Management Area: Leadership</b>			
<b>Decision Making and Delegation</b>			
<b>Leaders' Experience and Competence</b>			
<b>Management Area: Organizational Structure and Lines of Communication</b>			
<b>Organizational Structure</b>			
<b>Formalized Management Practices</b>			
<b>Management Area: Financial Management</b>			
<b>Financial and Accounting Practices</b>			
<b>Financial Stability</b>			
<b>Management Area: Human Resource Management</b>			
<b>Job Descriptions and Responsibilities</b>			
<b>Staff Training and Development</b>			
<b>Personnel Policies</b>			
<b>Management Area: Community Participation</b>			
<b>Community Contributions</b>			
<b>Membership</b>			



## Case Discussion Questions: Dostluk Assesses its Management Capabilities

2. What does Dostluk need to do to strengthen its management capabilities? As a first step in developing an action plan for Dostluk, for each management indicator listed below, suggest at least one priority action that could be taken to move Dostluk to the next stage of development. Make sure that the actions are feasible and cost effective. (To answer this question, compare the Post-Survey Management Map with the Preliminary Management Map to determine the action steps.)

Management Indicator	Action Steps
<b>Mission and Plans</b>	
Organizational Mission Statement	
Annual and Long-Term Planning	
<b>Leadership</b>	
Decision Making and Delegation	
Leaders' Experience and Competence	
<b>Organizational Structure and Lines of Communication</b>	
Organizational Structure	
Formalized Management Practices	
<b>Financial Management</b>	
Financial and Accounting Practices	
Financial Stability	
<b>Human Resource Management</b>	
Job Descriptions and Responsibilities	
Staff Training and Development	
Personnel Policies	
<b>Community Participation</b>	
Community Contributions	
Membership	

## Case Analysis: Dostluk Assesses its Management Capabilities

- Using information from the case, the summary forms, and Dostluk's preliminary management map, develop a post-survey management map to show which stage of development Dostluk is in for each management indicator listed in the post-survey management map.

<b>Post-Survey Management Map</b>			
<b>Management Indicator</b>	<b>Reference Criteria</b>		
	<b>Launch Stage (data from survey)</b>	<b>Growth Stage (data from survey)</b>	<b>Mature Stage (data from survey)</b>
<b>Management Area: Mission and Plans</b>			
<b>Organizational Mission Statement</b>		A mission statement exists but has not been widely shared with staff.	
<b>Annual and Long-Term Planning</b>	An annual plan exists.		
<b>Management Area: Leadership</b>			
<b>Decision Making and Delegation</b>		A team of senior staff participates in decision making.	
<b>Leaders' Experience and Competence</b>		The organization modifies policies and implements new plans.	
<b>Management Area: Organizational Structure and Lines of Communication</b>			
<b>Organizational Structure</b>			
<b>Formalized Management Practices</b>	Procedures exist for reporting to donors, but not for day-to-day operations.		

## Case Analysis: Dostluk Assesses its Management Capabilities

<b>Post-Survey Management Map</b>			
<b>Management Indicator</b>	<b>Reference Criteria</b>		
	<b>Launch Stage (data from survey)</b>	<b>Growth Stage (data from survey)</b>	<b>Mature Stage (data from survey)</b>
<b>Management Area: Financial Management</b>			
<b>Financial and Accounting Practices</b>		An audit for organizational activities takes place every two years.	
<b>Financial Stability</b>		The donor base was recently expanded from a single donor to two.	
<b>Management Area: Human Resource Management</b>			
<b>Job Descriptions and Responsibilities</b>		Most staff have job descriptions, but many have not been reviewed or revised since they were developed.	
<b>Staff Training and Development</b>	In-service or on-the-job training occurs only with new staff.		
<b>Personnel Policies</b>		Staff have files but records are not maintained on a regular basis.	
<b>Management Area: Community Participation</b>			
<b>Community Contributions</b>	The community makes limited donations at this time.		
<b>Membership</b>		Two community members serve on the board of directors.	

## Case Analysis: Dostluk Assesses its Management Capabilities

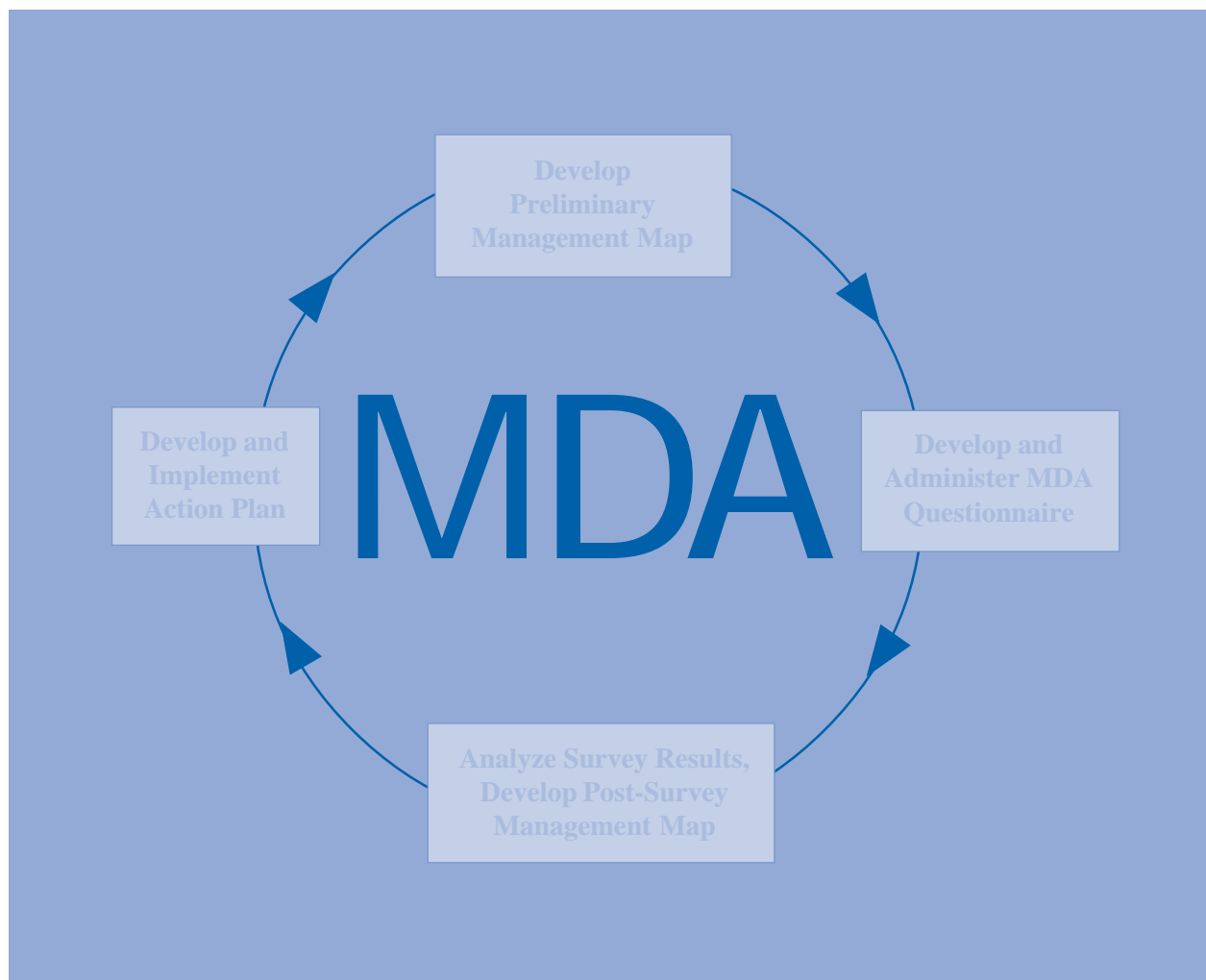
2. What does Dostluk need to do to strengthen its management capabilities? As a first step in developing an action plan for Dostluk, for each management indicator listed below, suggest at least one priority action that could be taken to move Dostluk to the next stage of development. Make sure that the actions are feasible and cost effective.

Management Indicator	Action Steps
<b>Mission and Plans</b>	
<b>Organizational Mission Statement</b>	Prepare written mission statement for distribution to all staff and post in main office.
<b>Leadership</b>	
<b>Decision Making and Delegation</b>	Identify appropriate role for board of directors to take in decision making and strategic planning.
<b>Leaders' Experience and Competence</b>	Seek training opportunities to learn more about strategic planning process so that long-term planning can help the organization move forward.
<b>Organizational Structure and Lines of Communication</b>	
<b>Organizational Structure</b>	Modify supervisory relationship on the basis of programs. Change organization structure to reflect program structure.
<b>Formalized Management Practices</b>	Select committee to develop operations manual(s) using existing documents for a framework.
<b>Financial Management</b>	
<b>Financial and Accounting Practices</b>	Institute annual external audit.
<b>Financial Stability</b>	Seek additional donors.
<b>Human Resource Management</b>	
<b>Job Descriptions and Responsibilities</b>	All supervisors will meet with staff to review and revise job descriptions. They will then be reviewed and updated on a regularly scheduled basis.
<b>Staff Training and Development</b>	Provide regular inservice and on-the-job training opportunities for staff at all levels.
<b>Personnel Policies</b>	Implement system for regular and systematic maintenance of personnel files.
<b>Community Participation</b>	
<b>Community Contributions</b>	Set short- and long-term goals for community contributions.
<b>Membership</b>	Meet with board members from community to develop plan for increasing community participation.

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# *The MDA Start-Up Kit*





A supplement to *The Family Planning Manager* "Planning for Sustainability: Assessing the Management Capabilities of Your Organization" Volume V, Number 4, Winter 1996/97

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# The MDA Start-Up Kit

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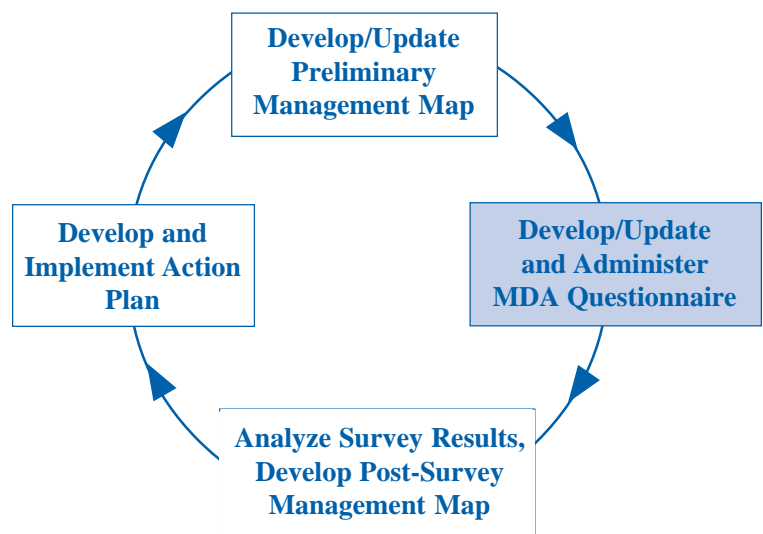
## In This Start-Up Kit

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This supplement to *The Family Planning Manager* provides you with guidelines for developing your own MDA questionnaire to collect information on the management capabilities of your organization. It includes a sample preliminary management map as well as a complete sample questionnaire.

These samples illustrate the tools of the MDA and show how the specific questions contained in the questionnaire are directly related to the indicators and reference criteria you developed in your preliminary management map. Remember, as with any management tool, these MDA tools should be adapted to suit the circumstances and priorities in your own organization.

## The MDA Cycle



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## Developing and Administering the MDA Questionnaire

There are four main steps involved in preparing a good MDA questionnaire and administering it effectively so that you get the information that you need to assess the management capabilities of your organization. These steps are:

- Designing the questionnaire;
- Organizing and developing the questionnaire;
- Field testing the questionnaire;
- Administering the questionnaire.

### Designing the Questionnaire

The questionnaire is the most common instrument for collecting information. In preparing a questionnaire you need to think about how to design it. Design has three important elements:

- What you want to learn from conducting the survey;
- What kinds of questions you will ask and how you should phrase them;
- How you will record and summarize the information you collect.

Before you develop a questionnaire, you need to have developed a preliminary management map. (The sample preliminary management map and questionnaire included in this supplement exemplify these two inter-related tools of the MDA and illustrate how the questionnaire is derived from the preliminary management map.) Once you have determined your management indicators and the reference criteria for each stage of development, there is little guesswork about the kinds of questions you will need to ask. If, however, you have not already selected your indicators, preparing a questionnaire can be an extremely difficult task, as you may find it difficult to place limits on the amount of information you think you need.

Your preliminary management map, which organizes the management areas, the indicators for

each management area, and the reference criteria for each indicator, gives you a head start on addressing these three aspects of questionnaire design. Using a well-designed questionnaire will help make the process of gathering information a positive learning experience by helping you use your time efficiently, stay focused on the information you need to obtain, and put the people you interview at ease. It will also help you to summarize the answers when you start analyzing the information.

### Organizing and Developing the Questionnaire

The questionnaire should incorporate three main elements: the names of interviewers and interviewees and a brief profile of the organization, questions on management capabilities, and space for writing the answers and other notations or references to additional documentation.

First, you will need a section that identifies the context and people from whom information is being collected. This will allow you space to include some background on the organization such as the date it was established, its major functions and services, and its major donors, as well as the date, the site (clinic, branch, or department), the person(s) being interviewed, and their title or position. You should limit the number of people you plan to interview to no more than twenty people.

In conducting an MDA survey, you do not need to ask all the people you interview to answer every question in the questionnaire. For some questions, such as those about mission and plans and leadership, it is helpful to ask all the people you plan to interview to answer so that the responses reflect a broader base of people. But for questions pertaining to more specific management areas, you will more likely be asking people only those questions that relate to the kind of work that they do. *For example, information on financial management may be collected from the finance manager or senior accountant, and information on personnel policies from the human resources manager.*

Next, you will need to develop the questions for the questionnaire. The purpose of the questions is to obtain information that will allow you to measure the management capabilities of your organization. This part of the questionnaire should be divided into subsections, one for each of the management areas you have identified. Following the example illustrated in this issue of *The Family Planning Manager*, these would include mission and plans, leadership, organizational structure and lines of communication,

financial management, human resource management, and community participation.

Last, you will need to leave enough space to write the responses to the questions. You may be able to design some questions to be answered as multiple choice or by yes or no, but you should always leave enough space to include additional comments or to reference additional documentation that you may want to refer to later.

### Tips on Designing and Organizing the Questionnaire

**Determining the number of questions.** Each main management area should be sub-divided by each indicator identified in your preliminary management map. For each indicator ask one or more questions; more than one question is usually necessary.

**Phrasing the questions.** The questions should be clear and direct requests for information, rather than open-ended questions, which often require a long, narrative answer that would be difficult to record as the interviewees are speaking to you. In carrying out a management development assessment it may sometimes be necessary to conduct the interviews in local languages. If the questions are open-ended, misunderstandings may occur. When you ask clear and straightforward questions you can more easily test whether the interviewees have the same understanding and thus try to find the best word in the local language that conveys the meaning you intend. Furthermore, the answers to direct questions can be verified more easily through documentation or other means than can answers to open-ended questions which often are based on opinions. If you feel it is necessary to get an interviewee's opinion, add a question after you have asked the specific questions. In this way the interviewee is more likely to give an opinion that is based on fact rather than on assumptions.

**Recording the information.** When you formulate the questions, you should also consider the appropriate way to record the answer. Some questions will require you to take notes on the response. Others may be more suitable for a checklist, or a one- or two-word answer. If the answer will require you to take notes, you need to allow sufficient space on the questionnaire to write your notes. If you need to write down specific features or characteristics of a management system, you could have a checklist with different ranges or the possible features you anticipate as answers, *for example, whether a system is manual or computerized, or whether protocols are informal or documented in manuals or guidelines.* In this way you won't forget what is important and you will not have to waste time writing down the answer. You should also leave extra space for recording additional, interesting comments from the people you interview, or if you wish to add a follow-up question which will increase your understanding of the organization's management capability.

**Verifying the answers.** You should think about the types of documents you might need to refer to in order to verify the answers. Leave a line or two to note which documents you might want to refer to later to verify an answer, such as minutes (including the date of the minutes) from a meeting of the board of directors. In some cases you may be able to write in key documents in advance, which you can circle and then later write in the information from the document that supports the answer. Or, if necessary, you can note that you could not find supporting documentation.

Remember, your goal is to collect representative, useful information that is specific to the management areas you have identified for study rather than being exhaustive and collecting information on every aspect of the organization. A well-thought-out questionnaire, with each question linked to a specific indicator, will make collecting the information a rewarding exercise. Your questionnaire should be designed to be administered easily and quickly so that the information collection activity is completed in one or two days. A brief, comprehensive questionnaire will enable you to analyze the results quickly and provide feedback to staff. Giving feedback when interest is high will stimulate interest in the management development process and serve as an inducement for others to start thinking about ways to improve their own management capabilities and those of the organization as a whole.

### Field Testing the Questionnaire

Before conducting your survey, you should field test the questionnaire by using it to interview a few people. The purpose of the field test is to verify that your indicators and reference criteria are appropriate and that your questions are clear and appropriately phrased so that you will obtain the required information about your organization's management capabilities.

The field test will verify that your indicators, reference criteria, and the questions in the questionnaire are *reliable* and *valid*. *Reliability* confirms that you are measuring in the right way (using the right questions) so that two people can use the same questionnaire to interview different people and get similar responses and that the responses are pertinent to the questions asked. *Validity* confirms that you are measuring the right management capabilities and that the responses can be distinguished between launch, growth, and mature stages.

In small organizations, you can choose two or three people to test your questionnaire. If you are assessing more than one organization or an organization with a network of offices, branches, clinics, or service delivery points, it is advisable to choose a small representative sample of people to interview to determine whether you have chosen the right management indicators and criteria and questions for the questionnaire.

After you have conducted the field test you may find that you need to revise some of the questions to make them more clear, or you may want to add (or delete) questions. It is important that you take the time to make necessary changes. It will make administering the questionnaire easier and your results will be more useful.

### How to . . .

#### Conduct a Field Test

**Step 1.** Choose two departments or two people, depending on the size of the organization.

**Step 2.** Assign two individual interviewers or two interviewing teams to conduct the field test with the departments or people. All interviewers should be trained in interviewing techniques, and be familiar with the indicators, reference criteria, and the questionnaire.

**Step 3.** Have the interviewers (or interviewing teams) conduct the interviews with different people separately and independently.

**Step 4.** Compare answers to verify reliability. If the questionnaire is reliable, the results should be approximately the same from two independent persons collecting the data. If the results are different for specific questions, the indicators, reference criteria, and questions need to be reviewed and revised. Retest the revised questions to see if they are reliable. Usually one or two reviews will solve most problems.

**Step 5.** Compare results to verify validity. Ask yourself if the results make sense and if they provide a realistic assessment of management capabilities. Use your judgment and obtain feedback from the interviewees to determine if the results make sense, and/or if any specific results give an inaccurate picture of management capabilities. For the latter, review and revise the indicators, reference criteria, and questions, then retest the questions to see if they provide more useful information. One or two reviews will solve most problems.



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## Administering the Questionnaire

The way you administer the questionnaire can influence the outcomes of the information collection process, and will lay the foundation for subsequent efforts to improve management capabilities. Therefore, it is essential to adequately prepare your interviewers for the information collection process. Depending on the experience of the interviewers, you can prepare or train the interviewers by using one or more of the following approaches.

**Role play with your colleagues or friends.** Role plays are often useful for practicing interviewing techniques. They can help you identify or avoid potential problems in communication. One important problem often encountered in management assessments is understanding the meaning of different terms such as “goal,” “objectives,” “organizational structure,” or “management systems.” The terms may be clear to you, but don’t expect others, even managers, to always know what you are talking about. The interviewers need to be prepared to explain management terms clearly and simply, as well as to give examples that the interviewees will immediately recognize. Role playing is good training for anticipating and averting communication problems.

**Form interviewing teams.** It is often useful to work in teams, where one person asks the questions and engages in discussion, and another person enters the information, verifies answers, and monitors the process to identify any problems in communication that could interfere with the information collection. Working with a partner can help you spot difficulties in understanding questions or terminology. If you plan to interview several people or departments in your organization, members of the team can alternate interviewing and recording roles so that the team members don’t get tired and miss important information.

**Identify potential problems when translation is necessary.** If you have to conduct some of the interviews in a language other than the language in which the questionnaire is written, be sure that the words you use in the interview have the same meaning as the words you used in preparing the questionnaire. Very often management terms do not translate easily

from one language to another. In such a situation, it is useful to prepare in advance a reference list of the key terms and definitions translated into the other language.

**Plan the interview well in advance.** The interview should not come as a surprise or make people uncomfortable. Therefore, inform your interviewees at least two weeks in advance, so that they can allocate sufficient time for the interviews. You may need to make internal arrangements, for example with the respondents’ supervisors, so that all necessary people will be available for the interviews. You may have to negotiate dates that are convenient for you and the interviewees. Be sure to allow enough time for the respondents to ask additional questions that may come up, and for the interviewers to give them information about how the results will be used and how they can further participate in the process in the future.

## Using the Results

After collecting the information, you will be ready to assess the current management capabilities in your organization. Using the information from the survey, you will:

- Summarize the information from the questionnaire;
- Finalize the post-survey management map by categorizing the summary information into launch, growth, and mature stages;
- Prepare the results for feedback;
- Present and discuss the results with staff;
- Develop an MDA action plan for improving management capabilities.

Guidelines for completing these steps in the MDA begin on page 10 of the main issue.

On the following pages you will find a sample preliminary management map and sample questionnaire that relate to an organization that provides health and family planning services. These fully developed, interrelated sample tools have been designed to show how the questionnaire is derived from the specific management indicators and reference criteria that were originally identified in the preliminary management map.

## Sample Preliminary Management Map

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Mission and Plans</b>			
<b>Organizational Mission Statement</b>	Mission statement exists but is known by only senior staff and donors.	Mission statement exists but most staff are unfamiliar with it.	All employees and board members are familiar with the mission statement.
<b>Formulation of Program Objectives</b>	Organization's objectives are unclear and unrealistic.	Organization's objectives support the mission statement.	Projects are undertaken which support the organization's mission statement and objectives.
<b>Annual and Long-Term Planning</b>	The organization relies on external donors to develop annual plans.	The organization prepares an annual plan for donor-supported projects.	The organization uses a long-term strategic plan as the basis for its annual planning.
<b>Management Area: Leadership</b>			
<b>Decision Making and Delegation</b>	<p>Founder takes initiative for fund raising.</p> <p>Founder makes decisions on programs and major problems without consulting management staff or board of directors.</p> <p>Founder represents organization in meetings with outside organizations.</p>	<p>Founders and project managers take initiative for fund raising.</p> <p>Founder and management staff make decisions on programs and major problems.</p> <p>Founder and project director participate meetings with outside organizations.</p>	<p>Board members and staff participate in fund raising activities.</p> <p>Founder, management staff, and board make decisions on programs and major problems.</p> <p>Meetings with outside organizations are attended by technical or specialized staff.</p>
<b>Introduction of Change</b>	<p>Issues discussed in coordination meetings are shared only with board of directors.</p> <p>Organization starts fewer than three new initiatives without support from donors or other organizations.</p>	<p>Issues discussed in coordination meetings are shared with the board and management staff who take action only in areas which are required by a donor or the government.</p> <p>Organization starts fewer than five new initiatives without support from donors or other organizations.</p>	<p>Issues discussed in coordination meetings are shared with the board, management and technical staff, and subcommittees, who take action on the basis of organizational needs.</p> <p>Organization starts more than five new initiatives without support from donors or other organizations.</p>

## Sample Preliminary Management Map

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Leadership (continued)</b>			
<b>Leaders' Experience and Competence</b>	Organization follows existing policies and plans established by donor.	Organization introduces modifications and innovations in policies and implements them.	Organization leaders (board and managers) anticipate the needs of the organization through strategic planning.
<b>Management Area: Organizational Structure and Lines of Communication</b>			
<b>Organizational Structure</b>	<p>Organizational chart indicates staff positions.</p> <p>The organizational chart does not specify the supervisor for the executive director.</p>	<p>Organizational chart shows relationships of individual project staff.</p> <p>The organizational chart specifies that executive director reports to the board of directors.</p>	<p>Organizational chart shows relationships of all personnel within the organization.</p> <p>The executive director routinely reports to the board of directors.</p>
<b>Formalized Management Practices</b>	Procedures exist for selected management systems.	A general procedures manual exists for donor-supported projects.	A general procedures manual covers all organizational activities and is followed.
<b>Reporting and MIS</b>	<p>Reports are prepared on an as-needed basis.</p> <p>Reports are distributed to donors only.</p>	<p>Reports are prepared regularly to meet donor and government requirements.</p> <p>Reports are distributed to staff and the board of directors.</p>	<p>Reports are prepared regularly on all organizational activities.</p> <p>Reports are distributed to staff and the board, and actions are taken.</p>
<b>External Communications</b>	Organization collaborates with one or two other organizations on training of personnel.	Organization collaborates with other organizations on expanding program activities in the community.	Organization collaborates with other organizations on improving quality and impact of program activities.

## Sample Preliminary Management Map

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Financial Management</b>			
<b>Financial and Accounting Procedures</b>	<p>Organization maintains financial records but reports are prepared only on demand.</p> <p>An external audit has been performed only once.</p> <p>Audit of family planning project identifies more than ten problems.</p> <p>Accounting system records funds raised for donor-supported projects.</p>	<p>Financial records on specific projects are maintained and reports are prepared regularly to meet donor and government requirements.</p> <p>An external audit is conducted every two years.</p> <p>Audit of family planning project identifies three to ten problems.</p> <p>Accounting system records minimal information on fund-raising activities for non donor-supported projects.</p>	<p>Organization prepares a regular annual financial report on income and expenditures.</p> <p>The organization has yearly external audits.</p> <p>Audit of family planning project identifies fewer than three problems.</p> <p>Accounting system has complete financial records (cashbook, ledger and vouchers) on fund-raising activities for all donor- and non-donor-supported projects.</p>
<b>Financial Stability</b>	<p>Organization has only one source of funds.</p> <p>Client fees make up less than 5% of the organization's income.</p> <p>Income-generating activities provide a small percentage of funds.</p> <p>Organizational resources support less than 2% of the costs of the family planning project.</p> <p>Annual budgets are prepared.</p>	<p>Organization has several sources of funds.</p> <p>Client fees make up 5% to 10% of organization's income.</p> <p>Income-generating activities support selected project activities.</p> <p>Organizational resources support more than 5% of the costs of the family planning project.</p> <p>A financial plan has been prepared covering income and expenditures.</p>	<p>Organization has donor, government, and private sources of funds.</p> <p>Client fees make up more than 10% of organization's income.</p> <p>Income-generating activities cover 10% of annual organizational expenditure.</p> <p>Organizational resources support more than 10% of the costs of the family planning project.</p> <p>A long-term financial plan has been prepared and is being followed.</p>

## Sample Preliminary Management Map

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Human Resource Management</b>			
<b>Job Descriptions and Responsibilities</b>	<p>Only general job descriptions exist.</p> <p>Staff are unclear about their specific job responsibilities and who their supervisors are.</p>	<p>Detailed job descriptions exist for donor-supported staff only.</p> <p>Job descriptions state specific job responsibilities and supervisory relationships.</p>	<p>Detailed job descriptions are in place and up-to-date for all staff.</p> <p>All staff communicate with their immediate supervisors for clarification of job responsibilities.</p>
<b>Staff Supervision</b>	<p>Supervisors review performance but do not prepare annual work plans.</p> <p>Feedback is provided by supervisors based on informal information.</p>	<p>Supervisors review performance and only prepare work plans for donor-supported staff.</p> <p>Records are maintained by supervisors according to donor requirements and feedback is given to staff verbally and on the job.</p>	<p>Supervisors review performance and prepare work plans for all staff in the organization.</p> <p>Written feedback is provided to staff by the supervisor based on records maintained from written or on-the-job comments, in-service training, and meetings.</p>
<b>Staff Training and Development</b>	<p>At least 75% of staff is trained for their job responsibilities.</p> <p>Staff training takes place, but without reference to a training needs assessment.</p> <p>Leaders have had no formal management training.</p> <p>Irregular in-service or on-the-job training takes place.</p>	<p>More than 75% but less than 100% of staff is trained.</p> <p>Staff training plan depends on donor requirements and support.</p> <p>Leaders have received training to manage donor-funded project activities.</p> <p>In-service and on-the-job training takes place, as recommended and funded by a donor.</p>	<p>100% of staff is trained.</p> <p>Organization's training needs have been assessed and a training plan has been developed.</p> <p>Leaders have received training on organizational development and strategic planning.</p> <p>In-service and on-the-job training is provided on the basis of the organization's training plan.</p>
<b>Personnel Policies</b>	<p>Personnel policies exist but have not been documented.</p> <p>A separate confidential personnel filing system does not exist.</p>	<p>Personnel policies have been developed but are not available to all staff and are not implemented consistently.</p> <p>Individual personnel files exist but records are not maintained properly.</p>	<p>Staff have a copy of the personnel policies, and personnel decisions are made based on these policies.</p> <p>Personnel files are complete, confidential, and up-to-date.</p>



## Sample Preliminary Management Map

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Community Participation</b>			
<b>Community Contributions</b>	<p>Membership subscriptions are the only source of non-project funds.</p> <p>Voluntary activity is sporadic.</p>	<p>Membership and community provide in-kind and cash donations.</p> <p>Community provides a limited amount of voluntary service for specific activities.</p>	<p>Major fixed assets (e.g., a building) are obtained through community donations.</p> <p>Community provides regular voluntary services for specific programs or activities.</p>
<b>Membership</b>	<p>General membership has not increased by more than 10% since the founding of the organization.</p> <p>President and secretary of the board have not changed since the founding of the organization.</p> <p>More than 70% of the board of directors consists of family and relatives of the founder.</p>	<p>General membership has increased by 11–20% since the founding of the organization.</p> <p>Either the president or the secretary of the board have changed in the last three elections by the general members.</p> <p>Less than 70% but more than 20% of the board of directors consists of family and relatives of the founder.</p> <p>General meetings are held regularly, and members occasionally participate in the nomination/selection of the board of directors.</p>	<p>General membership has increased by more than 20% since the founding of the organization.</p> <p>Either the president or secretary have changed in the last four elections by the general members.</p> <p>Less than 20% of the board of directors consists of family and relatives of the founder.</p> <p>General meetings are held regularly and members consistently participate in the nomination/selection of the board of directors.</p>

## Management Development Assessment Sample Questionnaire

<b>Name of Organization:</b>	<b>Date:</b>
<b>Interviewers Conducting the Assessment:</b>	

A Management Development Assessment (MDA) should be conducted with the executive director of the organization, members of the board of directors, management staff such as an accountant, human resources manager, operations manager (and others), and if possible, two or more service providers and field workers.

Board Members/Staff Interviewed	
<b>Board of Directors (list names)</b>	<b>Position/Title</b>
<b>Management Staff (list names)</b>	<b>Position/Title</b>
<b>Service Providers (list names)</b>	<b>Position/Title</b>
<b>Field Workers (list names)</b>	<b>Position/Title</b>

---

## Organizational Profile

It is helpful to develop a brief profile of the organization. This can be instructive to staff who may not be familiar with the organization's programs, funding sources, and budget restrictions. It will also help you to be more objective in analyzing the information and determining the feasibility of implementing management improvements.

**Year Established:** \_\_\_\_\_

**Type of Organization:**

Multi-Service National

Single Service National

Multi-Service Local

Single Service Local

**Types of Programs/Services Offered:** (i.e., family planning, IEC, counseling, STD screening and treatment, ante- and post-natal services, HIV/AIDS, etc.)

_____	_____
_____	_____
_____	_____

**Funding Sources and Total Project Budgets:**

Name of Funding Source:

Budget:

_____	_____
_____	_____
_____	_____

**Note to Interviewers:**

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. You should also emphasize that a management assessment is not an audit or an evaluation of staff performance.

As a way of initiating discussions and to put staff at ease, ask management staff and members of the board of directors for a brief history of the organization, and how each person came to be affiliated with the organization. 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 that encourages conversation, rather than simply question and answer sessions. If possible, blend questions into a conversation. During the meetings, staff should be encouraged to expand and elaborate on points if they wish, as it is possible that they may provide information that is relevant to questions. During the meetings, one person should be primarily responsible for conducting the session while the other completes the questionnaire.

It is important to remember that you want information that will help you to identify the management capabilities of the organization so that you can prioritize technical assistance to strengthen those capabilities.

---

**Management Area: Mission and Plans**  
**Indicator: Organizational Mission Statement**

1. Is there a documented mission statement for the organization?  
(If Yes, you should review it)

Yes                       No

If Yes, record the mission statement here: \_\_\_\_\_

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

**Note to Interviewers:** In this instance, an appropriate mission statement is considered to be a statement that 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 representatives of the following groups of people if they can summarize it. Do their responses generally agree with the statement?

Board of directors	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Management staff	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Service providers	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Field workers	<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

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

---

**Management Area: Mission and Plans**

**Indicator: Formulation of Program Objectives**

3. Does the organization have objectives that are documented?  
(If Yes, review the written documents)

Yes       No

If Yes, do the organizational objectives support the mission statement?

Yes       No

If Yes, are the objectives clear and realistic?

Yes       No

Do objectives of programs/projects carried out by the organization support the mission statement and organizational objectives?

Yes       No

**Note to Interviewers:** An organization may have appropriate objectives specified in the constitution, project proposal, or other document without necessarily having a mission statement formulated. Objectives that are *clear* are simple, concise statements that state what an organization seeks to achieve within a program or project. They are *measurable* if they 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.

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

---

**Management Area: Mission and Plans**  
**Indicator: Annual and Long-Term Planning**

4. What projects does your organization currently implement?

Name of Project	Source of Funds	Amount

5. How does the organization develop plans for implementing its programs and projects?  
(Ask to see all types of planning documents):

No type of written plan exists for the organization but founding members discuss activities and make decisions based on needs.

The organization considers the donor-supported project proposal as an annual plan.

The strategic plan was developed on the basis of the mission statement and is used as a management tool.

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



**Management Area: Leadership**  
**Indicator: Decision Making and Delegation**

6. Who takes the initiative for developing fund-raising activities? (check as appropriate)

Founding member                       Manager

Board of directors/staff                       Others  
Specify: \_\_\_\_\_

7. Complete the following table regarding how decisions are made:  
(Verify if possible by reviewing documents)

Type of Decision	Founding Member	Manager	Program Staff	Board of Directors	Sub-Committee
Staff hiring/firing					
Program/project implementation					
Financial management					
Major problems/unexpected crisis					

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

\_\_\_\_\_

\_\_\_\_\_

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**Management Area: Leadership**  
**Indicator: Introduction of Change**

8. Who represents the organization in coordination meetings with other organizations?  
(Obtain information for last six months if possible and check below as appropriate)

Founding members  Executive director  Staff and sub-committee responsible for the related activities/specialty

9. Is the information shared by the member attending the external coordination meetings with

Management staff  Board of directors   
Subcommittees  Not shared

10. What type of action was taken on the issues raised in the coordination meetings?

Required by donors/government  On the basis of organizational need

11. 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   
4 to 5 initiatives  More than 5 initiatives

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

**Management Area: Leadership**  
**Indicator: Leaders' Experience and Competence**

12. Who prepared the following policies and plans followed by the organization?

Type of Policy/Plan	Prepared by:				
	Organization	Donor	Donor & Organization	Organization w/ help from Donor	Modified by Organization
Manuals					
Personnel Policies					
Project Proposal					
Financial Plan					
Other:					

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

To fulfill strategic goals

Donor required

Not applicable

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

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**Management Area: Organizational Structure & Lines of Communication**  
**Indicator: Organizational Structure**

14. Does the organization have an organizational chart which specifies:  
(If Yes, review it)

Structure of programs/projects only

Structure of the entire organization

No organizational chart exists

15. Is there any written documentation regarding to whom the executive director is accountable (e.g., job description, personnel policies, minutes of board meetings that review performance, etc.)?

Written document exists  Yes  No

Organizational chart reflects to whom executive director is accountable  Yes  No

Board of directors reviews executive director's performance on an annual basis  Yes  No

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

**Management Area: Organizational Structure & Lines of Communication**  
**Indicator: Formalized Management Practices**

16. Do written guidelines for routine program and financial procedures exist (e.g., for procurement of goods and commodities, training manuals, etc.)?

Yes

No

If Yes, list all the guidelines that exist. Under the column labeled: “Are Guidelines Being Followed?”, review two items within each set of guidelines, then verify files to confirm that the written procedure is being followed.

Type of Guidelines	Required by		Are Guidelines Being Followed?
	Donor	Organization	
Operations Manual			
Financial Management Manual			
Organization Activities Operation Manual			
Organization Financial Management Manual			
Organization’s Personnel Policies			
Other			

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

\_\_\_\_\_

\_\_\_\_\_

---

**Management Area: Organizational Structure & Lines of Communication**  
**Indicator: Reporting and MIS**

17. Are administrative and/or program-related progress reports prepared on all organizational activities or only as donors or government require? (If Yes, 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: \_\_\_\_\_

Reports shared with staff:  Yes  No

Reports shared with board of directors:  Yes  No

Reports shared with other organizations:  Yes  No

Action taken on the basis of reports:  Yes  No

(If Yes, verify examples of follow-up)

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

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

\_\_\_\_\_

\_\_\_\_\_



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**Management Area: Organizational Structure and Lines of Communication**  
**Indicator: External Communications**

18. What government agencies or other NGOs does the organization collaborate with in order to pursue its objectives and significant program activities?

Agency/NGO	Type of Activity
1.	
2.	
3.	
4.	
5.	

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

\_\_\_\_\_

\_\_\_\_\_

---

**Management Area: Financial Management**  
**Indicator: Financial and Accounting Procedures**

19. Does the organization maintain any financial records using a ledger, cash book, voucher files, etc.?  
(If Yes, 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 |
| Funds raised from revenue-generating activities                             | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| No records maintained at all  | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

20. Is an annual external audit conducted?  
(If Yes, 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 the family planning program?           | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

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

Number of problems identified in the last audit report of the organization as a whole:

# \_\_\_\_\_

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

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**Management Area: Financial Management**  
**Indicator: Financial Stability**

21. What type of donations does the organization receive?  
(If the response is Yes, review the relevant records)

Member subscriptions  Yes  No

Cash contributions  
from members  Yes  No

Some fixed assets made  
(Capital equipment or supplies)  Yes  No

Specify: \_\_\_\_\_

22. How much is collected in client fees by the organization?  
(Review relevant documentation to obtain the following information)

Amount of the organization's annual budget last year: \_\_\_\_\_ (local currency)

Amount of client fees collected last year: \_\_\_\_\_ (local currency)

Percentage of client fees as a proportion of the  
annual budget (divide the total service charge  
by the total budget): \_\_\_\_\_%

23. Does the organization have income generating projects?

Yes  No

If Yes, is the organization able to support organizational activities from the generated funds?  
(Review relevant documentation to verify)

Yes  No

---

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

Yes       No

If Yes, what is the amount of this cost sharing specified in the annual budget?  
(Review relevant documentation to obtain the following information)

Amount of the total budget: \_\_\_\_\_ (local currency)

Amount of cost sharing last year: \_\_\_\_\_ (local currency)

Percentage of cost-sharing as a proportion of total donor-supported projects (divide the total amount contributed by organization by the total budget): \_\_\_\_\_%

25. Does the organization have a financial sustainability plan and is it followed?

(If Yes, review the plan)

No financial sustainability plan exists:       Yes       No

Financial sustainability plan exists but is not consistently followed:       Yes       No

Financial sustainability plan exists and is followed consistently:       Yes       No

26. What fund-raising records are maintained by the organization for non-donor related activities?

(Review them)

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

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

\_\_\_\_\_

\_\_\_\_\_

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**Management Area: Human Resource Management**  
**Indicator: Job Descriptions and Responsibilities**

27. Has the organization prepared written job descriptions ?  
(If Yes, examine two to three descriptions)

All staff?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Donor-supported project staff only?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Are job descriptions ever revised?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

28. 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
Service providers	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Field workers	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

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

**Management Area: Human Resource Management**  
**Indicator: Staff Supervision**

29. Are work plans prepared for staff of all programs/projects?

Yes  No

(If Yes, review three and complete the table below)

Staff Position	Required by Donor	Initiated by Organization
Executive Director		
Program Directors		
Coordinators		
Managers		
Program Staff		
Accounting Staff		
Supervisors		
Service Providers		
Field Workers		
Other:		

30. Do program managers and supervisors maintain records on staff performance?

(If Yes, review one)

	Donor Required	Initiated by Organization
Yes		
No		

31. How do staff receive feedback from supervisors and managers? (check as appropriate)

(If written reports are given, ask for a copy of one)

Verbally       Written       On-the-job training       Staff meetings

In-service training       No feedback given

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



32. Does the organization have an annual staff performance review system for all programs and organizational activities? Are the reviews shared with staff?

Annual staff performance review system in place:  Yes  No

Annual staff performance review done as per donor instruction:  Yes  No

Annual staff performance review system exists for all staff:  Yes  No

Reviews shared with staff:  Yes  No

33. Who is involved in the performance review process?

Staff	Reviewing Personnel			
	Board of Directors	ED/PD	Immediate Supervisor	Not Reviewed
Executive Director/ Program Director (ED/PD)				
Technical Directors				
Coordinators				
Managers				
Program Staff				
Accounting Staff				
Supervisors				
Service Providers				
Field Workers				
Other				

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

\_\_\_\_\_

\_\_\_\_\_

**Management Area: Human Resource Management**  
**Indicator: Staff Training and Development**

34. How many staff does the organization have in each of the following categories and what level of training do they have?

Category	Number of Staff	Number of Staff Trained
Managers		
Supervisors		
Service Providers		
Field Workers		
Accounting Staff		
Technical Staff		
Other (specify):		
<b>Total</b>		

Percentage of staff trained: \_\_\_\_\_% (Calculate percent based on the figures above)

35. Record information on training plan:

Does the organization have a training plan?

(If Yes, you should review it)

Yes

No

Is the training plan required and supported by donor?

Yes

No

Are the organization's training needs assessed and then followed?

Yes

No

---

36. Have members of the board of directors ever received training in the following areas?

Role of the board in the development of the organization  Yes  No

Donor-supported activities  Yes  No

Strategic planning  Yes  No

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

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

Yes, required by donor  Yes, required by organization  No

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

---

**Management Area: Human Resource Management**  
**Indicator: Personnel Policies**

38. Do personnel policies exist for the entire organization?  
(If any exist, you should review them)

Personnel policies do not exist for the entire organization

Personnel policies exist for the entire organization

If Yes, do all staff have a copy of the policies?  Yes  No

All staff-related decisions are made on the basis of the written personnel policies.

(Verify at least two cases and compare with personnel policies)

39. Are confidential personnel files maintained for each employee?

Yes

No

(If Yes, review the file system and record the contents of one file for each activity below)

	Included	Not included
Job application	<input type="checkbox"/>	<input type="checkbox"/>
Curriculum vitae/résumé	<input type="checkbox"/>	<input type="checkbox"/>
Appointment letter or contract	<input type="checkbox"/>	<input type="checkbox"/>
Vacation and sick leave	<input type="checkbox"/>	<input type="checkbox"/>
Performance review	<input type="checkbox"/>	<input type="checkbox"/>

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

\_\_\_\_\_

\_\_\_\_\_

---

**Management Area: Community Participation**  
**Indicator: Community Contributions**

40. What kinds of contributions have been received by the organization from the community in the past three years?

- Monetary donations       Equipment and supplies       Land and/or buildings   
Membership subscriptions       Other

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

- Yes       No

If Yes, complete the following information:

A.      Activities where volunteer activity has occurred only once:

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

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

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

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

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**Management Area: Community Participation**  
**Indicator: Membership**

42. How many general members does the organization have?

When it was established: \_\_\_\_\_

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

Percentage increase/decrease: \_\_\_\_\_

43. How frequently has the president or the secretary of the board of directors changed?

Neither has changed

At least one has changed within last three  
board elections/election meetings

Both have changed within the last four  
board elections/election meetings

44. Does the organization record the minutes of board of directors meetings?

Never  Sometimes  Always

45. Does the organization's management take follow-up action on resolutions made at board meetings?  
(If Yes, check minutes of meetings and any other relevant documentation)

Yes  No

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

46. What is the composition of the board of directors at the present time?

Current Board of Directors			
Name	Position	How Long Position Held	Relationship*

\* Indicate with a tick mark if the person is a relative or immediate family member of senior management or founding members.

Percentage of relatives and family members on the board of directors: \_\_\_\_\_%

47. Record information on annual general meetings. (Review the constitution and minutes of the organization):

Number of annual general meetings held  
as per constitution/per year: # \_\_\_\_\_

Number of annual general meetings held  
in the last four years: # \_\_\_\_\_

Number of annual general meetings held  
in the last five years: # \_\_\_\_\_

Period of board nomination/selection: \_\_\_\_\_

Number of nominations/selections of the  
board that took place in the last four years: # \_\_\_\_\_

Number of nominations/selections of the  
board that took place in the last five years: # \_\_\_\_\_

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







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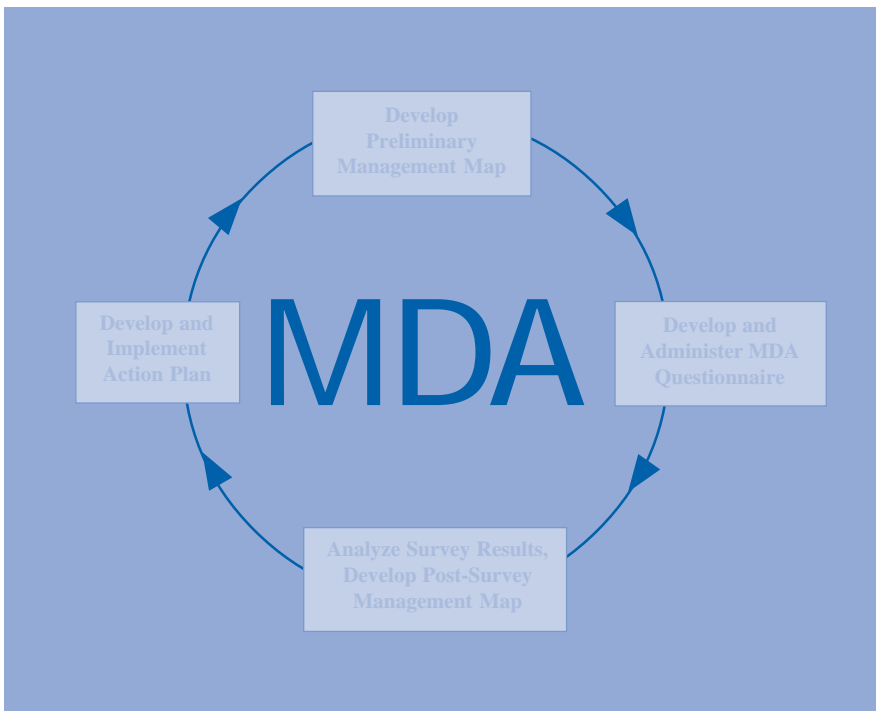
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# *Pocket Guide to MDA Indicators*



A supplement to *The Family Planning Manager*  
Volume V, Number 4, Winter 1996/97

A supplement to *The Family Planning Manager* “Planning for Sustainability: Assessing the Management Capabilities of Your Organization” Volume V, Number 4, Winter 1996/97

## Pocket Guide to MDA Indicators

This pocket guide is designed to be used as a reference in developing a preliminary management map of your organization, which is the first step in conducting a Management Development Assessment (MDA). There are four major steps in conducting an MDA. These are to:

- Develop a preliminary management map to guide the assessment;
- Develop and administer the MDA questionnaire to collect information on the management capabilities of your organization;
- Analyze the survey results and develop a post-survey management map of your organization;
- Develop and implement an action plan for making management improvements.

The preliminary management map is one of the key tools of the MDA. When completed, it identifies the key management areas (and management indicators within each area) that are important to your organization. For each management indicator, it provides baseline reference criteria describing the desired level of organizational capability according to each of the three stages of development. After conducting the MDA survey (Step 2), the preliminary management map is used as a guide to determine the stage of development of your organization in each management indicator, and is used as a baseline for comparing your progress and determining objectives for strengthening your organization's capabilities.

This *Pocket Guide of MDA Indicators* provides sample management indicators and reference criteria according to the three stages of management development used in the MDA. You can use these indicators and criteria in developing your preliminary management map or modify them to suit your organization's needs and priorities. For a sample preliminary management map derived from this pocket guide, please refer to pages 6-10 of the accompanying supplement, *The MDA Start-Up Kit*.

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Mission and Plans</b>			
<b>Organizational Mission Statement</b>	<p>Mission statement exists but is known only by senior staff and donors.</p> <p>Project objectives are formulated independently of mission statement.</p>	<p>Written mission statement exists, but is not well known among staff.</p> <p>Project objectives are consistent with mission statement.</p>	<p>Written mission statement exists, and is familiar to all staff, board of directors, and community.</p> <p>Project objectives are consistent with both the organization's mission statement and overall strategies.</p>
<b>Formulation of Program Objectives</b>	<p>Objectives exist but are unclear. Fewer than 25% of the objectives are achieved.</p>	<p>Objectives are clear. Between 25% and 50% of the objectives are achieved.</p>	<p>Objectives are clear, realistic, and measurable. More than 50% are achieved.</p>
<b>Annual and Long-Term Planning</b>	<p>Annual plan exists for projects.</p>	<p>Long-term project plans are based on a needs assessment.</p>	<p>Long-term organizational plan exists derived from a strategic planning process.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Mission and Plans (continued)</b>			
<b>Identification of Target Groups</b>	Target groups are defined by a donor or government organization.	Target groups are defined according to needs of a pre-existing program.	Target groups are defined in light of the organization's mission and strategic plan.
<b>Management Area: Leadership</b>			
<b>Decision Making and Delegation</b>	<p>Decision making is centralized, usually in one person.</p> <p>Director represents the organization in all meetings.</p>	<p>Board of directors participates in decision making.</p> <p>Director and senior staff represent the organization in external meetings.</p>	<p>Senior staff participate in decision making.</p> <p>Organization's representatives are chosen according to technical competence.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Leadership (continued)</b>			
<b>Decision Making and Delegation (continued)</b>	<p>Issues and problems are shared only with the board of directors.</p> <p>Senior staff work independently and do not interact with board members.</p> <p>Leaders follow existing policies established by donors.</p>	<p>Issues and problems are shared with board and senior staff.</p> <p>Senior staff and board interact to identify new project opportunities.</p> <p>Leaders review and modify policies and plans to meet needs of multiple projects.</p>	<p>Issues and problems are shared with all staff and solutions are sought in common.</p> <p>Senior staff and board actively review programs and discuss program development.</p> <p>Leaders develop policies and plans in accordance with organization's mission and strategy.</p>
<b>Introduction of Change</b>	<p>Leaders accept ideas suggested by donors but without critical review of feasibility.</p>	<p>Leaders accept new ideas and modify them to suit the local situation.</p>	<p>Leaders introduce new ideas to improve effectiveness and efficiency of the organization or program performance.</p>



## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Leadership (continued)</b>			
<b>Leaders' Experience and Competence</b>	Leaders have fewer than 5 years of experience and no formal executive training.	Leaders have at least 5 years of experience and some formal executive training.	Leaders have more than 5 years of experience and most have received formal executive training.
<b>Problem Solving Relationship with Donors</b>	Problems in project implementation are identified, but no systematic effort is made to solve them.  Projects and plans are prepared by donors or government organization.	Problems in projects are regularly identified, and systematic efforts are made to solve them.  Projects and plans are prepared in consultation with donors and government organization.	Problems are regularly addressed and strategies are developed to solve or prevent them.  Projects and plans are prepared by staff and submitted to donors and government organization.

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Organizational Structure and Lines of Communication</b>			
<b>Organizational Structure</b>	Organizational structure is guided by supervisory relationships rather than program strategies.	Organizational structure is guided by program strategies.	Organizational structure is regularly reviewed to assure consistency with program strategies.
<b>Formalized Management Practices</b>	Procedures are in place for specific systems in which donors or policy makers are interested (e.g., finance).	Standard procedures manual exists, but is only followed to meet donor requirements.	Standard procedures manual is updated regularly and complied with for all organizational activities.
<b>Reporting and MIS</b>	Information is collected, but there is not a standard format for record keeping, reporting, or feedback on program activities.	Organization uses standard formats for record keeping and reporting for donor-related projects.	Standard reports are prepared on all program-related activities for distribution to government, donors, and the community.

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Organizational Structure and Lines of Communication (continued)</b>			
<b>Reporting and MIS (continued)</b>	Information is shared with donors, but not shared with staff and board of directors.	Reports are shared with staff and board of directors, but are not regularly used for planning.	Reports are shared with all staff and board of directors and are used for planning and monitoring purposes.
<b>External Communications</b>	<p>There is contact with other programs, organizations, or agencies to share information about project activities.</p> <p>Organization collaborates with one or two agencies to send personnel for training.</p>	<p>The organization has occasional meetings with other programs, organizations, or agencies to discuss changing needs, economic issues, and impact on program activities.</p> <p>Organization collaborates with other agencies to expand program coverage.</p>	<p>The organization has regular meetings with other programs, organizations, or agencies to discuss changes in the environment and strategies for more effective programs.</p> <p>Organization collaborates with other agencies to increase quality or impact of programs.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Financial Management</b>			
<b>Source of Funds</b>	<p>Projects and indirect costs are financed by a single donor.</p> <p>Revenue-generating activities represent a small percentage of the organization's financing.</p>	<p>Projects and indirect costs are financed by several donors.</p> <p>Revenue-generating activities provide 10–24% of the organization's finances and a revenue generation plan exists.</p>	<p>Nondonor funds are used to share financing of project and indirect costs.</p> <p>Revenue-generating activities provide at least 25% of the organization's finances.</p>
<b>Financial and Accounting Procedures</b>	<p>Organization maintains a cash book, but standard accounting controls are not consistently practiced.</p>	<p>Organization maintains cash book and ledgers, but standard accounting controls are not consistently practiced.</p>	<p>Organization maintains cash book, ledgers, and standard chart of accounts, and standard accounting controls are consistently practiced.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Financial Management (continued)</b>			
<b>Financial and Accounting Procedures (continued)</b>	Audit problems are identified, but rarely addressed.	Periodic audits report problems, but problems are only partially resolved.	Audits do not identify any major problems and recommendations are quickly implemented.
	Financial records cover only donor-related activities.	Financial records are prepared for non-donor activities, such as fund raising and income-generation activities.	Complete financial records exist for all organizational expenses and income.
	Only donor-related expenditure reports are produced.	Donor-related financial reports on expenditures and budget are produced.	Organization-wide income and expenditure reports are produced.
	The organization does not have the capability to do unit cost accounting.	The organization periodically assesses the cost of services.	The organization assesses the cost and prices of services and incorporates results to improve cost efficiency.

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Financial Management (continued)</b>			
<b>Ability to Generate Resources</b>	<p>Organization depends on one major donor.</p> <p>Less than 10% of the organization's income is derived from non-donor sources (fees, service charges, etc.).</p> <p>Projects are budgeted but revenue generation plan does not exist.</p>	<p>Organization receives funding from several donors.</p> <p>At least 10% of income is derived from non-donor sources.</p> <p>Revenue generation plans for specific projects are prepared.</p>	<p>Organization receives funding from international, government, and community sources.</p> <p>At least 25% of income is derived from non-donor sources.</p> <p>Revenue generation plans for the organization are prepared.</p>
<b>Financial Stability</b>	<p>The organization tracks expenditures but does not predict the rate of expenditure on project activities.</p>	<p>The organization is able to estimate the rate of expenditure.</p>	<p>The organization is able to estimate the rate of expenditure and the rate of revenue generation.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Human Resource Management</b>			
<b>Job Descriptions and Responsibilities</b>	<p>Not all staff have job descriptions or are familiar with them.</p> <p>Job descriptions that exist are very general concerning job responsibilities and supervision.</p>	<p>All staff have job descriptions but not all are up-to-date.</p> <p>Detailed job descriptions exist only for donor-supported staff.</p>	<p>Detailed job descriptions exist, and are up-to-date for all staff.</p> <p>All job descriptions are regularly updated to reflect real work requirements and responsibilities.</p>
<b>Staff Supervision</b>	<p>Supervisory roles are unclear.</p> <p>Supervision is carried out without reference to individual work plans.</p>	<p>Established supervisory lines of authority are not consistently followed.</p> <p>Individual work plans are prepared for donor-supported staff only.</p>	<p>Established supervisory lines of authority are consistently followed.</p> <p>Individual work plans are prepared for all staff.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Human Resource Management (continued)</b>			
<b>Staff Supervision (continued)</b>	Supervisory records are maintained but no feedback to staff is provided.	Supervisory records are maintained and feedback is provided to staff verbally.	Supervisory records, including discussions, visits, and in-service training results, are used as a basis for feedback.
<b>Staff Training and Development</b>	At least 50% of staff are appropriately trained to carry out their job responsibilities.  The organization provides limited on-the-job training.	At least 75% but less than 100% of staff are appropriately trained.  On-the-job training is offered by the organization periodically.	100% of staff are appropriately trained.  On-the-job training is offered regularly to upgrade skills.



## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Human Resource Management (continued)</b>			
<b>Personnel Policies</b>	<p>The organization provides continuing education for staff without first assessing staff training needs.</p> <p>Vacation, sick leave, and health benefits exist but policies are not standardized.</p>	<p>The organization conducts a needs assessment in order to select candidates for continuing education.</p> <p>Vacation, sick leave, and health benefits policies are standardized</p>	<p>Periodic needs assessments are conducted to develop a staff training plan.</p> <p>Employee benefits are reviewed annually to be competitive with those offered by similar organizations.</p>
<b>Management Area: Community Participation</b>			
<b>Community Contributions</b>	<p>Community contributes through membership subscriptions.</p>	<p>Community contributes through in-kind donations and financial donations to specific projects.</p>	<p>Community provides fixed assets (e.g., financing for a building) to support the organization.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Community Participation (continued)</b>			
<b>Community Contributions (continued)</b>	The board of directors are the only volunteers.	Community members provide voluntary services for specific activities.	Community members provide regular voluntary services for ongoing programs.
<b>Membership</b>	<p>Membership (in the case of NGOs) is limited to a few families on the board of directors.</p> <p>General membership has increased less than 10% since the founding of the organization.</p>	<p>Membership includes a variety of local people with interest in the organization.</p> <p>General membership has increased at least 10–24% since the founding of the organization.</p>	<p>The membership is diverse, composed of people from all walks of life.</p> <p>General membership has increased more than 50% since founding of the organization.</p>

## MDA Indicators

Management Indicator	Reference Criteria		
	Launch Stage	Growth Stage	Mature Stage
<b>Management Area: Community Participation (continued)</b>			
<b>Membership (continued)</b>	Membership of the board of directors is unchanged since the founding of the organization.	Membership of the board of directors has changed once since the founding of the organization through a vote of the general membership.	Membership of the board of directors has changed regularly by a vote of the general membership.
<b>Community Support for Programs</b>	Fewer than 20% of clients are willing to pay for services provided by the organization.  There is sporadic attendance by community members to discuss programs.	Twenty to 40% of clients are willing to pay for services provided by the organization.  There is consistent attendance by the community to discuss programs activities.	Over 40% of clients are willing to pay for services provided by the organization.  There is consistent attendance at regular meetings to discuss program goals and strategies.







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